

CHAPTER 3 PROJECT AUTHORIZATION

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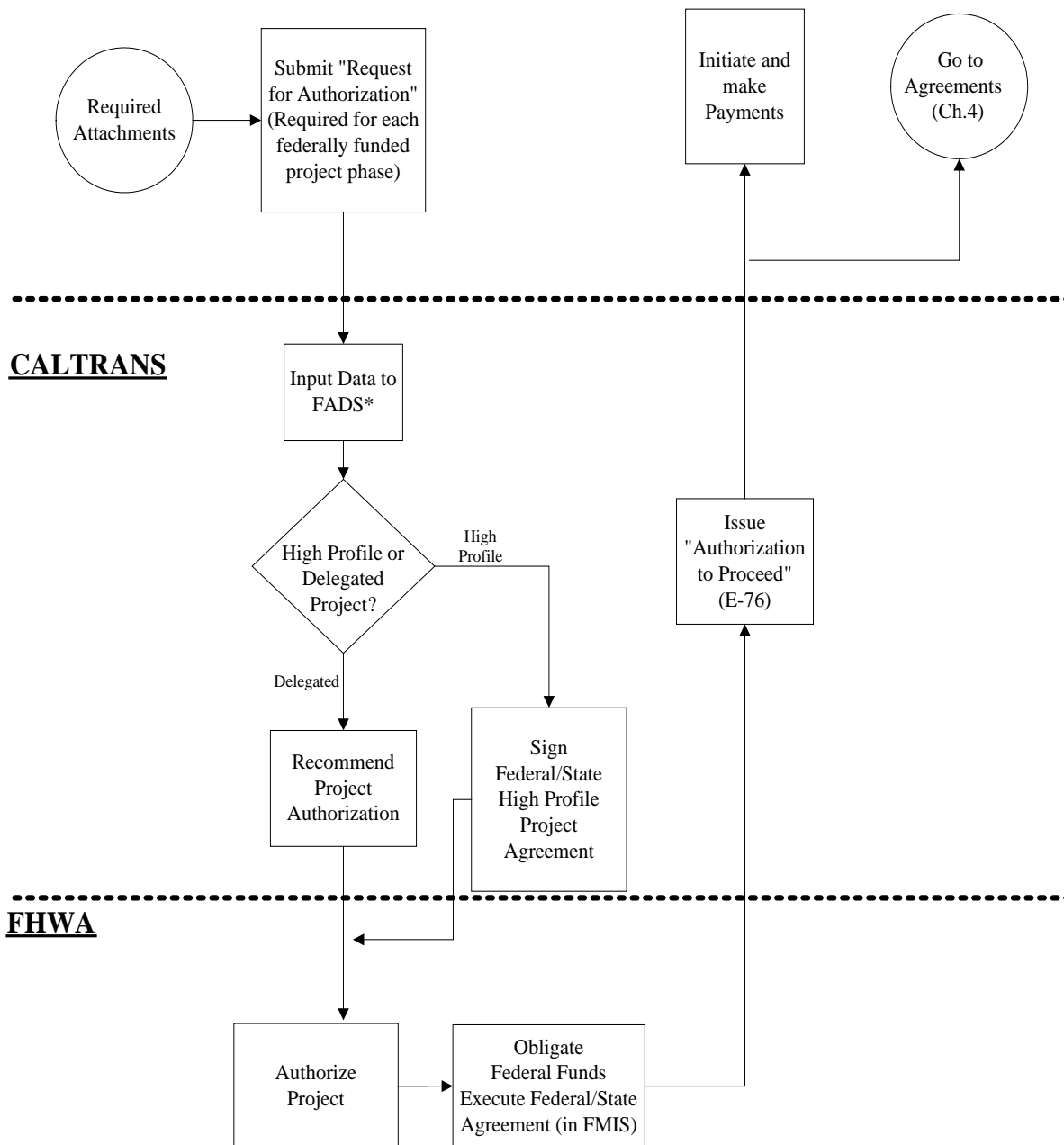
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FIGURE 3-1 FINANCIAL MANAGEMENT PROJECT AUTHORIZATION/OBLIGATION

FINANCIAL MANAGEMENT PROCEDURES PROJECT AUTHORIZATION/OBLIGATION For Developing All Local Federal-Aid Projects

LOCAL AGENCY

Federal authorization must precede any project phase for which federal reimbursement will be requested



*FADS: Federal Aid Data System

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CHAPTER 3 PROJECT AUTHORIZATION

3.1 INTRODUCTION

GENERAL

Prior to beginning highway work for which federal reimbursement will be requested, the project or project phase must be formally authorized (approved) by the Federal Highway Administration (FHWA). Each federally funded phase of work such as: Preliminary Engineering (PE), Right of Way (R/W), Utility Relocation (R/W-UTIL), and Construction (CON) require a separate federal authorization (the authorization of federal funds may be subdivided within a phase as well). Any work performed prior to federal “Authorization to Proceed” is not eligible for federal reimbursement and may disqualify that phase. *

On October 14, 2010, the FHWA and California Department of Transportation (Caltrans) entered into the current “Joint Stewardship and Oversight Agreement.” This Agreement outlines the roles and responsibilities for oversight and approval of federally funded transportation projects under the jurisdiction of the FHWA. The Agreement defines two categories of projects—“Delegated” and High Profile.” For “Delegated” projects, the FHWA has delegated as many project oversight and approval actions to Caltrans as the law allows. On “High Profile” projects, approval actions are determined on a project-by-project risk basis as agreed to by the FHWA and Caltrans. Regardless of whether the project is Delegated or High Profile, Caltrans recommends federal authorization and the FHWA must formally authorize the work. The determination as to whether a project is “Delegated” or “High Profile” is based on the criteria listed in Section 2.5, and the process defined in Figure 2-1, in Chapter 2 of the Local Assistance Procedures Manual.

** Exception – For Emergency Relief projects, prior FHWA approval is not required for Emergency Opening and Preliminary Engineering. Permanent Restoration work must have prior FHWA program approval and authorization, unless the work is done as part of Emergency Opening repairs.*

ACRONYMS

AC - Advance Construction
CE - Construction Engineering
CFR - Code of Federal Regulations
CMAQ - Congestion Mitigation and Air Quality Improvement Program
CON - Construction
CTC - California Transportation Commission
CTIPS - California Transportation Improvement Program System
DBE - Disadvantaged Business Enterprise
DLA - Caltrans Division of Local Assistance
DLAE - Caltrans District Local Assistance Engineer
DMT - Caltrans Division of Mass Transportation
DTR - Caltrans District Transit Representative
EA - Expenditure Authorization Number (for accounting purposes)
ER - Emergency Relief
E-76 - Electronic Authorization to Proceed
FADS - Federal-Aid Data System (State Database)

FHWA - Federal Highway Administration
FMIS - Fiscal Management Information System (Federal Database)
FPN - Federal Project Number
FSTIP - Federal Statewide Transportation Improvement Program
FTA - Federal Transit Administration
FTIP - Federal Transportation Improvement Program
FFY - Federal Fiscal Year
FY - Fiscal Year (State)
HBP - Highway Bridge Program
HSIP - Highway Safety Improvement Program
IIP - Interregional Improvement Program portion of STIP
ISTEA - Intermodal Surface Transportation and Efficiency Act of 1991
ITS - Intelligent Transportation Systems
LAPG - Local Assistance Program Guidelines
LAPM - Local Assistance Procedures Manual
LPA - Local Programs Accounting Branch
LSSRP - Local Seismic Safety Retrofit Program
MPO - Metropolitan Planning Organization
NEPA - National Environmental Policy Act
NBI - National Bridge Inventory
NBIS - National Bridge Inspection Standards
OA - Obligation Authority
OFR - Caltrans Office of Federal Resources
PA/ED - Project Approval/Environmental Document
PE - Preliminary Engineering
PPNO - Project Planning Number
PSA - Program Supplement Agreement
PS&E - Plans, Specifications and Estimate
RIP - Regional Improvement Program (Portion of STIP)
RSTP - Regional Surface Transportation Program
RTPA - Regional Transportation Planning Agency
R/W - Right of Way
SAFETEA-LU - Safe, Accountable, Flexible, Efficient, Transportation Equity Act – A Legacy for Users
SEMP - Systems Engineering Management Plan
SERF - Systems Engineering Review Form
SR2S - Safe Routes to School Program
STD - State Transportation Department
STIP - State Transportation Improvement Program
STP - Surface Transportation Program
TE - Transportation Enhancements Program
TEA-21 - Transportation Equity Act for the 21st Century
UDBE – Underutilized Disadvantaged Business Enterprise

USC - United States Code

TERMS AND DEFINITIONS

Allocation - An administrative distribution of funds.

Apportionment - A statutorily prescribed division or assignment of funds. An apportionment is based on prescribed formulas in the law and consists of dividing authorized obligational authority for a specific program among the states.

Authorization to Proceed - Federal project funding eligibility approval for a particular phase of work by the Federal Highway Administration (FHWA).

Construction Engineering - Supervision and inspection of construction activities, additional staking functions considered necessary for effective control of the construction operations, testing materials incorporated into construction, checking shop drawing, and measurements needed for the preparation of pay estimates.

Delegated Project - A lower risk project not selected as High Profile project, for which Caltrans has authority for all aspects of a Federal-aid project except those activities which may not be delegated by federal law (requiring FHWA approval). Prior to September 2007 these projects were referred to as "State-Authorized" projects defined by set criteria (rather than risk) such as non-Interstate 3R projects, Interstate construction projects under \$1 million, non-NHS projects, etc. Over 99% of Local Assistance projects are Delegated in which Caltrans or the local agency has approval authority for most project level activities.

Disadvantaged Business Enterprise (DBE) – A for-profit "small business concern" that is at least 51 percent owned and controlled by one or more socially and economically disadvantaged individuals. One or more such individuals must also control the management and daily business operations. These individuals must be citizens lawfully admitted permanent residents of the United States and (1) any individual who a recipient finds to be a socially and economically disadvantaged individual on a case-by-case basis, or (2) who are either African Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, Subcontinent Asian Americans, (persons whose origin are from India, Pakistan, Bangladesh, Bhutan, Maldives Islands, Nepal or Sri Lanka), Women, or any other group found to be socially and economically disadvantaged by the Small Business Administration (see CFR, Part 26).

E-76 - Federal-aid Program Document titled: "Authorization to Proceed" Form. It provides federal authorization to begin reimbursable work for a specific phase of work.

Federal Fiscal Year - The accounting period for the federal budget. The Federal Fiscal Year (FFY) is from October 1 until September 30. The FFY is designated by the calendar year in which it ends. For example, FFY 06 runs from October 1, 2005, until September 30, 2006.

Finance Letter - Project funding summary document required by Local Programs Accounting. It is prepared by the administering agency and submitted to Caltrans as backup information for the federal-aid/state project agreement.

FSTIP - Federal Statewide Transportation Improvement Program, a four-year list of all state and local transportation projects proposed for federal surface transportation funding and/or are considered regionally significant. This is developed by Caltrans in cooperation with MPOs/RTPAs and in consultation with local and other rural entities. The FSTIP, including FTIPs, requires FHWA/FTA approval.

FTIP - Federal Transportation Improvement Program, a four-year list of all transportation projects proposed for federal surface transportation funding within the planning area of one of the eighteen Metropolitan Planning Organizations (MPOs) in the state. These are only valid for reference when incorporated into the FSTIP and approved by FHWA/FTA (see Chapter 4 of the Caltrans Project Development Procedures Manual for more discussion).

High Profile - High Profile projects are high risk projects for which the FHWA maintains project level approval for many project delivery activities. Prior to September 2007 these projects were referred to as FHWA “Full-Oversight” projects based on set criteria (rather than risk) such as Interstate construction over \$1million, major Intelligent Transportation System, etc. Very few Local Assistance projects are High Profile projects.

LAPG - The *Local Assistance Program Guidelines* manual provides local project sponsors with a complete description of the federal and state programs available for financing local public transportation related facilities.

LAPM - The *Local Assistance Procedures Manual* describes the processes, procedures, documents, authorization, approvals and certifications, which are required in order to received federal-aid and/or state funds for many types of local transportation projects.

Local Agency - A city, county or other public entity.

Local Assistance Project - A local surface transportation project funded with federal and/or state funds for the operation, maintenance, and acquisition or development of facilities or land, provided the local entity retains ownership after completion of the project. Examples include:

- Project on Local Street with federal CMAQ funds
- Project on Local Street with RIP (STIP) funds

National Environmental Policy Act (NEPA) - Federal environmental law requiring federal agencies to consider the environmental impacts of their actions, evaluate least damaging alternatives and ensure decisions are made in the public’s best interest based on a balanced consideration of the need for safe and efficient transportation.

Obligation - The federal government’s legal commitment (promise) to pay or reimburse the states or other entities for the federal share of a project’s eligible costs.

Obligation Authority (OA) - Total amount of federal funds that may be obligated in a FFY.

Overall Work Plan (OWP) - The OWP is the MPO/RTPA’s transportation planning structure/plan for the state fiscal year, July 1 through June 30.

Preliminary Engineering (PE) -This phase includes all project initiation and development activities (including NEPA approval) undertaken through the completion of PS&E. It may include preliminary Right of Way engineering and investigations necessary to comply with the provisions of NEPA.

Underutilized Disadvantaged Business Enterprise (UDBE) - A firm meeting the definition of a DBE as specified in 49 CFR, Part 26 and is one of the following groups: African Americans, Asian-Pacific Americans, Native Americans, and Women.

3.2 PRIOR TO FEDERAL AUTHORIZATION

Prior to federal authorization, all federally funded transportation projects must be included in the current federally approved Federal Transportation Improvement Program/Federal Statewide Transportation Improvement Program (FTIP/FSTIP). The FTIP/FSTIP (or amendment thereto) must identify scope of work, project location, project sponsor, federally funded phases of work, programmed FFY, and the types and amounts of federal funds. ER projects that involve substantial functional, locational, or capacity changes also must be included in the FTIP/FSTIP.

For ITS projects and other projects with ITS elements, a preliminary classification of the project should be made as High-Risk (formerly “Major”), Low-Risk (formerly “Minor”), or Exempt. For further explanation, reference the Chapter 13 “Intelligent Transportation Systems (ITS) Program,” of the LAPG.

Non capacity increasing projects funded by the following federal programs are typically included in Caltrans’ administered Lump Sum listing of projects. The following Lump Sum listings of projects are developed, in cooperation with the MPOs/RTPAs and local agencies:

- Highway Bridge Program (HBP previously HBRRP)
- Local Seismic Safety Retrofit Program (LSSRP)
- Highway Safety Improvement Program (HSIP)
- Safe Routes to School (SRTS) Program

Note: *Transportation Enhancements (TE) funded projects are now programmed in the State Transportation Improvement Program (STIP) (see Chapter 23 “Local Agency State Transportation Improvement Projects,” of the LAPG for requirements associated with federally funded STIP projects).*

Projects funded with regionally programmed Surface Transportation Program (STP) or Congestion Mitigation and Air Quality Improvement (CMAQ) funds may be included in a Regional Lump Sum listing of projects as adopted by the appropriate MPO/RTPA. The RTPA/MPO is responsible for project eligibility determination and financial constraint of the regional program. When a local agency requests federal authorization of a project, the MPO/RTPA’s approved list of projects must be provided to the Caltrans District Local Assistance Engineer (DLAE).

Planning type projects funded with PL (MPO Planning Funds) or Section 5303 funds are not required to be listed in the FTIP/FSTIP when they do not lead to construction, however, these projects must then be included in a federally approved planning document such as Overall Work Plan (OWP).

Soon after a project is selected and programmed for inclusion or amended into the FTIP/FSTIP, the sponsoring agency should contact the Caltrans DLAE to discuss how and when they plan to proceed with project implementation. The discussion should cover the timing and process for the authorization/obligation of federal funds, whether a “Formal Field Review” is required or recommended (see Chapter 7, “Field Reviews,” of the LAPM), and the California Transportation Commission (CTC) allocation(s) of STIP funds, if necessary.

If federally funded work is to be performed by a consultant or contractor, the local agency must have a Caltrans approved California Department of Transportation Disadvantaged Business Enterprise Implementation Agreement (Exhibit 9-A) and the approved Local Agency DBE Annual Submittal Form (Exhibit 9-B). The Local Agency

DBE Annual Submittal Form is due to the DLAE by June 1 of each year for the following FFY. (See Chapter 9, “Civil Rights and Disadvantaged Business Enterprise,” of the LAPM.)

3.3 REQUEST FOR AUTHORIZATION

The project sponsor identified in the FTIP/FSTIP to receive the federal funds is responsible for requesting the Federal Authorization to Proceed. The project sponsor must prepare and submit a “Request for Authorization to Proceed” package to the appropriate Caltrans District Local Assistance Office. The request package should include, as a minimum, the agency’s “Request for Authorization to Proceed”(see Exhibits 3-A, B, C, or D), “Request for Authorization to Proceed Data Sheets(s)” (see Exhibit 3-E), and all required support documentations. The Caltrans District Local Assistance Office must submit to Caltrans Headquarters Division of Local Assistance (DLA), the “Federal Project Log Sheet” (Exhibit 3-G) with the appropriate documents attached.

If the Request for Authorization package is complete and all federal and state requirements have been satisfied, a minimum of three (3) weeks processing time should be allowed to receive federal Authorization to Proceed for “Delegated” projects. More time will be required for “High Profile” projects. Additional time may also be required near the beginning or end of the FFY.

If the “Request for Authorization to Proceed” package is incomplete, unacceptable or missing information that cannot be quickly obtained by FAX, telephone, e-mail, or other source, the package will be returned to the local agency for resubmittal.

PRELIMINARY ENGINEERING

Eligible preliminary engineering (PE) work includes location and environmental studies, NEPA approval (Chapter 6, “Environmental Procedures,” of the LAPM), final design (Plans, Specifications and Estimate [PS&E]) and other related work including the cost of advertising leading to physical construction of a project. Preliminary R/W studies, as needed for NEPA compliance (see Chapter 13, “Right of Way,” of the LAPM), may be considered eligible and authorized as part of PE.

Only eligible work performed after the date of federal authorization is eligible for federal reimbursement. The preliminary studies portion of PE may be authorized prior to an optional or mandatory field review (see Chapter 7, “Field Reviews,” of the LAPM). This allows for the reimbursement of selecting consultants and other specialists who may be needed for field review. However, a completed Field Review form shall be submitted to Caltrans within four- months from the initial PE authorization. Otherwise, the authorization to proceed will be canceled automatically.

“Authorization to Proceed with PE” must lead to R/W acquisition or construction in a timely manner. Per 23 CFR 630.112 (c)(2), if R/W is not acquired or a construction contract is not awarded by the close of the tenth fiscal year following the year of PE authorization, any expended federal funds must be returned to the federal government, unless a time extension is granted by the FHWA.

INTELLIGENT TRANSPORTATION SYSTEMS

For Intelligent Transportation Systems (ITS) projects, PE includes Systems Engineering, equipment, software development, and use of a Systems Manager or Systems Integrator (see Chapter 13 “Intelligent Transportation Systems (ITS) Program,” of the LAPG for details on Systems Engineering and the project development process for ITS projects).

The System Engineering analysis of High-Risk (formerly “Major”) ITS projects, as defined in Chapter 13 of the LAPG, must be approved by the FHWA prior to PE. The Systems Engineering Review Form (SERF) of High-Risk ITS projects must be approved by FHWA prior to, or shortly after PE authorization. Development of the Systems Engineering Management Plan (SEMP) is contingent upon federal review comments and approval of the SERF. FHWA approval of the SEMP is required prior to proceeding to detailed component design.

Low-Risk (formerly “Minor”) ITS projects can undergo the traditional one PE phase authorization and will not require FHWA approval of the SERF and SEMP. However, the local agency still must complete the SERF, as part of the Field Review Form.

Exempt ITS projects can undergo the traditional one PE phase authorization and will not require the SERF and SEMP.

RIGHT OF WAY

Eligible Right of Way (R/W) work includes the preparation of R/W plans, making economic studies, other R/W related-preliminary work, appraisal for parcel acquisition, review of appraisals, payments for real property acquired, preparation for and trial of condemnation cases, management of properties acquired, furnishing of relocation assistance, and other related labor expenses (see 23 CFR 710 for details). This work is covered in the local agency’s “Request for Authorization to Proceed with Right of Way,” (Exhibit 3-B of this chapter). **Only eligible work performed after federal “Authorization to Proceed” with R/W may receive federal reimbursement.**

As noted above, some R/W activities necessary for the completion of the NEPA process may be authorized as part of PE. However, an approved NEPA document is required prior to the majority of R/W activities (e.g., negotiating with property owners, acquisition and relocation assistance, see Chapter 13, “Right of Way,” of the LAPM). The request for R/W authorization must include an approved NEPA document and completed Field Review Form if not submitted previously.

RIGHT OF WAY UTILITY RELOCATIONS

If federal reimbursement is sought for utility relocations (adjustments), all work must be performed in accordance with the FHWA’s “Alternate Procedure” 23 CFR 645.119 (e)(2). Refer to Chapter 14, “Utility Relocations,” of the LAPM for detailed information and procedures related to eligible costs, required federal actions (Authorization to Proceed [E-76], FHWA Specific Authorization to Relocate Utilities and FHWA Approval of Utility Agreement[s]), sequence of activities, notifications, support documentation and federal reimbursement.

The DLAE must identify the name of the utility owner, type of facility, and estimated cost to relocate/adjust each utility in the “State Comments” section of the E-76.

IMPORTANT: If federal funds are used to finance any phase of work on a project, all project R/W activities, including utility relocation must conform to requirements of 23 CFR, Part 645. Failure to comply will jeopardize federal funding.

CONSTRUCTION AND CONSTRUCTION ENGINEERING

Eligible construction costs include, the actual cost to construct the highway itself including its appurtenant facilities and any removal, adjustment or demolition of buildings or major obstruction, utility or railroad work that is a part of the physical construction of the project construction engineering, and administrative settlement of cost for contract claims.

Federal “Authorization to Proceed” with construction must be received prior to advertising the construction contract. **Projects advertised prior to federal authorization are NOT eligible for federal reimbursement.**

The request package for “Authorization to Proceed” with construction must include a Field Review form, a copy of the approved NEPA document (either a signed Categorical Exclusion [CE], Finding of No Significant Impact [FONSI], or Record of Decision [ROD]), if not previously submitted, approved Right of Way Certification, project finance letter, engineer’s estimate, PS&E Certification (Exhibit 12-C), PS&E Checklist (Exhibit 12-D) and PS&E package.

For projects of \$100 million or more, but less than \$500 million, a Financial Plan must be prepared and submitted to the DLAE with the request for construction authorization. For major projects of \$500 million or more, a Financial Plan must be submitted prior to the request for construction authorization and submittal of a draft Project Management Plan is required prior to environmental approval. For major projects, the Final Project Management Plan is due 90 days after the environmental decision document (i.e. FONSI or ROD). A Cost Estimate is required to be included in each Financial Plan. Both the Financial Plan and Project Management Plan are to be submitted to the DLAE for FHWA approval. The requirements for both of these plans are discussed in Chapter 2 “Roles and Responsibilities,” of the LAPM.

Construction Engineering (CE) includes, the supervision and inspection of construction activities, additional staking functions considered necessary for effective control of the construction operations, testing materials incorporated into the construction, checking shop drawings, and measurements needed for establishing pay quantities. CE costs must be specifically included in the “Authorization to Proceed with Construction” and authorized to be eligible for federal reimbursement. CE costs must also be included on the project finance letter. If CE is authorized after construction begins, only those CE costs incurred after the date of the CE authorization are eligible for federal reimbursement.

Typically, the federal reimbursement of CE costs is limited to 15% of the total federal funds obligated for construction. Construction costs exclude costs of PE, right of way and CE. For implementation purposes, CE costs in excess of 15% on “Delegated” projects must be reviewed for reasonableness and approved by the Caltrans DLAE.

If Caltrans source inspection services will be requested, the local agency must submit/justify their request (refer to Exhibit 16-V “Source Inspection Request From Local Agency To Caltrans District Local Assistance Engineer,” of the LAPM) at least 30 days prior to local agency submittal of their “Request for Authorization to Proceed with Construction.” Caltrans may perform the requested source inspection services, subject to the availability of their inspectors (see “Source Inspection,” Section 16.14, “Quality Assurance Program,” of the LAPM).

Some ITS projects may be fully deployed without ever advancing to construction. There are other ITS projects with nonconstruction activities, which might be handled as consultant, low-bid, or service contracts (see Section 13.9, “Procurement/Construction,” of the LAPG).

NON-INFRASTRUCTURE PROJECTS

Non-infrastructure (NI) projects are those transportation related projects that will NOT involve engineering design, right of way acquisition, and the eventual physical construction of transportation facilities. Examples of non-infrastructure projects include public awareness campaigns and outreach, Traffic Demand Management (TDM), traffic education and enforcement in the vicinity of schools, student sessions on bicycle and pedestrian safety, freeway service patrol, ridesharing activities, commuter incentives, and the purchase of alternative-fueled vehicles.

Federal-aid highway funds have primarily been used on highway construction projects. Recent Highway Acts have authorized the use of federal-aid highway funds for non-construction projects. For example, SAFETEA-LU mandated an allocation of 10-30% of the Safe Route to School Program (SRTS) funds to be used for non-infrastructure (NI) related activities. Other federal-aid funding programs that have been used for non-infrastructure projects are Transportation Enhancement (TE) and Congestion Mitigation and Air Quality (CMAQ) programs.

The eligibility of non-infrastructure projects for federal participation is governed by the various federal funding program guidelines, such as SRTS-NI, TE, and CMAQ Programs. While it is apparent that projects receiving funding from the SRTS-NI program should be processed as NI projects, project sponsors receiving funding from other federal-aid programs should consult with their Caltrans District Local Assistance Engineer to see if their projects can be processed as NI projects.

For typical federal-aid highway construction projects, authorizations to proceed for federal-aid projects are granted to one of the project delivery phases, i.e. Preliminary Engineering (PE), Right of Way (R/W) /Utility Relocation, or Construction (CON). NI projects do not neatly fit under any of the above traditional project phases. Due to various considerations such as the “PE over 10 years rule” and FTIP programming issues, federal authorization to proceed for NI projects will be processed under the “Construction” phase using “Exhibit 3-Q - Request for Authorization to Proceed with Non-Infrastructure Project”.

FTIP/FSTIP: Most NI projects are programmed in the FTIP/FSTIP as “Grouped” projects, also known as “Lump-sum” projects. As such, they are traditionally programmed in the “Construction” phase. NI projects that are individually listed in the FTIP/FSTIP shall also be programmed under Construction.

Environmental Review: Even though NI projects do not involve the traditional engineering design, right of way, and ground disturbance during construction, environmental reviews are still required to ensure that the project will not have negative impacts on the environment. A full scale preliminary environmental study (PES), however, may not be required for NI projects. Instead, the Preliminary Environmental Screening Form for Non-Infrastructure Projects (PES-NI) may be used to streamline the environmental reviews of NI projects. The approval of the PES-NI will result in a Categorical Exclusion (CE) as the NEPA determination. A copy of the PES(NI) Form is available at:

<http://www.dot.ca.gov/hq/LocalPrograms/lam/forms/lapmforms.htm>

Right of Way: Since NI projects will not involve right of way acquisition or utility relocation, FHWA has agreed with Caltrans that Right of Way Certifications will NOT be required.

Plans, Specifications, and Estimates (PS&E): Any NI project requesting authorization to proceed must include a NI project work plan in lieu of the traditional PS&E. The work plan must be of sufficient detail to describe project tasks, schedule, activities, deliverables, and budgets/costs. A sample work plan is shown in Exhibit 3-R.

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3.4 ADMINISTRATIVE PROCEDURES

The Caltrans Federal-Aid Data System (FADS) and the FHWA Fiscal Management Information System (FMIS) are the databases used in the federal authorization/obligation process.

Upon receipt of a complete and acceptable Local Agency “Request for Authorization to Proceed” package, Caltrans District Local Assistance Office creates an electronic project file (E-76) and inputs the required project information into the FADS database. The Caltrans District Local Assistance Office then transmits the E-76 project file and required backup information to Caltrans Headquarters Division of Local Assistance (DLA). The DLA Area Engineer reviews the submittal package for completeness and accuracy, focusing on project eligibility, federal and state requirements, availability of federal funds and obligation authority, and required support documentation (see Exhibit 3-G “Federal Project Log Sheet” of this chapter). The DLA Area Engineer recommends FHWA approval of “Delegated” or “High Profile” projects and then transmits the E-76 to FHWA (California Division). FHWA authorizes all projects and transmits all federally funded project records to FMIS. FHWA then accesses FMIS and electronically signs each federally funded project to obligate the federal funds (place under agreement with Caltrans).

Upon the federal obligation of funds, the Caltrans DLAE notifies the project sponsor and issues an “Authorization to Proceed” (see Exhibit 3-P Sample “Delegated Project Authorization”) and a federal project summary, and then documents the federal authorization and obligation dates. **Costs incurred prior to federal authorization are not eligible for reimbursement. Projects advertised prior to federal authorization are not eligible for federal reimbursement.**

For significant changes in Scope of Work and cost increases or reductions, the local agency must submit a modified “Request for Authorization to Proceed” package. The District, DLA and FHWA will process this E-76 request in the same manner as above.

The authorized amount for all phases of the project obligated but not fully expended will be adjusted based on the Finance Letter (Exhibit 3-O of this chapter), which is attached to the Request for Authorization.

BUDGET AUTHORITY FOR PROJECTS ON THE STATE HIGHWAY SYSTEM (SHS)

For Caltrans administered projects located on the SHS financed with local assistance funds, a federal and/or state Capital Subvention Reimbursement Allocation must be secured prior to Caltrans encumbering the local assistance funds for the project. The DLAE must submit a completed and signed “Request for Capital Subvention Reimbursement Allocation Form” (Exhibit 3-H of this chapter) for projects located on the SHS. For projects administered by Caltrans, the DLAE must ensure that the Caltrans Project Manager completes and signs Exhibit 3-H. For projects administered by a local agency, Exhibit 3-H is no longer required. The Request for Capital Subvention Allocation must be attached to each Request for Authorization package.

The Office of Resource Management in the DLA will concur with the request and forward it to the Capital Budgets Branch in the Division of Budgets. Upon approval of the request, the Division of Budgets will notify LPA, the Highway Appropriations and Management Section in Accounting, District Resource Management, the Subvention Management Branch in the DLA, and the DLAE. For projects partially on the SHS, consult with the DLAE.

If a Cooperative Agreement is necessary for the project, it should be executed prior to requesting authorization to proceed. For policy information, refer to *Cooperative Agreement Manual*, maintained by Division of Design located at this web site:
<http://www.dot.ca.gov/hq/oppd/coop/cooptoc.html>

3.5 OBLIGATION, ENCUMBRANCE & LIQUIDATION OF FUNDS

The obligation of federal funds is a commitment by the FHWA to reserve the authorized federal funds for the project. The FHWA obligates federal funds for all federally funded projects under their jurisdiction. Typically, the obligation of federal funds is automatic upon federal authorization of the project (or phase of work) provided the state has sufficient Obligation Authority (OA) and federal fund balances for the current FFY.

FINANCE LETTER

The Finance Letter is a project specific financial summary document (prepared by the Local Agency and approved by Caltrans DLA) required by LPA as support documentation for the project funding agreement. The Finance Letter identifies:

Project reference data such as responsible and administering agency (ies), project number, EA, PPNO, whether or not the project is on the State Highway, etc.

Federally funded phases of work, to date.

Total project costs and cost eligible for federal participation by phase of work, to date.

Federal, state, local and other fund sources (by fund type and amount) funding each phase of work, to date.

Federal reimbursement rates for progress invoice purposes (by phase of work and fund types).

Local agency certification and signature.

Project specific remarks.

For each request for federal authorization, the project sponsor must attach a detailed project Finance Letter (See Exhibit 3-O of this chapter) identifying the phases of work for which federal reimbursement is sought. In addition, the project Finance Letter must specify the types and amounts of federal, state and local match funds contributing to the project.

Following the obligation of federal funds, State Budget Authority must be reserved by “encumbering” the funds on a project specific program supplement agreement (PSA). The PSA must be signed by the project sponsor and executed by Caltrans prior to requesting the reimbursement of funds (see Chapter 4 “Agreements”).

Caltrans will prepare the PSA upon receiving the complete Field Review Form from the local agency. The Field Review Form shall be submitted by the local agency to Caltrans within four months from the date of authorization for PE, or along with the first request for authorization for the project if PE is done with nonfederal funds. In an effort to streamline the agreement process, revised agreements are typically no longer required for each phase of work.

California Government Code 16304 stipulates that any federal and state local assistance funds encumbered for a project are typically available for disbursement for a period of seven (7) and five (5) years, respectively, from the beginning of the fiscal year(s) the funds are appropriated in the State Budget Act. A DLA prepared project Finance Letter (based on information provided by the project sponsor) is sent to the project sponsor and reflects various project fund reversion dates. It is imperative that a local agency request federal authorization only when they are ready to do the work and only for work that will be completed and invoiced within this time period. Federal authorization for the remaining project work should be requested at a future date.

3.6 UNDERFUNDED PROJECTS

When the federal funds programmed for a project in the FTIP/FSTIP are insufficient to reimburse a local agency at the maximum federal reimbursement rate (legal pro rata) permitted for a federal fund type, the project is defined as “federally underfunded.” From a federal perspective, underfunded projects result in more federal projects for a given amount of federal funds. The increased oversight/administration costs make this an inefficient way of utilizing federal funds.

Section 630.106 of Title 23 (Highways) of the United States Code of Federal Regulations (CFR) stipulates:

- (f)(1) The federal-aid share of eligible project costs shall be established at the time of project authorization in one of the following manners:*
- *Pro rata, with the authorization stating the federal share as a specified percentage; or*
 - *Lump sum, with the authorization stating that federal funds are limited to a specified dollar amount not to exceed the legal pro rata.*
- (2) The pro rata or lump sum share may be adjusted before or shortly after contract award to reflect any substantive change in the bids received as compared to the State Transportation Department's (STD's) estimated cost of the project at the time of FHWA authorization, provided that federal funds are available.*
- (3) Federal participation is limited to the agreed federal share of eligible costs incurred by the state, not to exceed the maximum permitted by enabling legislation.*
- (g) The state may contribute more than the normal nonfederal share of Title 23, U.S.C. projects. In general, financing proposals that result in only minimal amounts of federal funds in projects should be avoided, unless they are based on sound project management decisions.*

Therefore, except as permitted by 23 CFR 630.106 (f)(2), once a federal fund source is placed under agreement (E-76) for a phase of work, the pro rata reimbursement rate for that federal fund type (apportionment) and phase of work is fixed for the life of the project. In other words, when a phase of work is placed under federal agreement (E-76), the project sponsor has agreed to deliver a scope of work for an agreed upon amount of federal funds. If project costs increase, the federal share of the eligible costs is fixed at the federal pro rata established at the time of the project was placed under agreement. For this reason, MPOs/RTPAs should strive to fund projects at the maximum federal reimbursable rate.

ADMINISTRATIVE RULES

For Delegated projects, Caltrans DLAE will consider underfunding on a project-by-project basis. However, if there is a potential for a Region to lapse funds to the “Use It or Lose It” provisions of AB1012, Caltrans will not permit the initial underfunding of projects for that Region.

Many federal “earmark” and “discretionary” federal funding programs (High Profile projects, Historic Bridge, and so forth.) release or allocate federal funds on an annual basis. For long-term or high cost projects, the total anticipated federal funds might not be available at the time of the initial federal authorization for the project phase of work. Therefore, for these types of funds, FHWA will permit adjustment to the federal pro rata as the federal funds become available.

FEDERAL REIMBURSEMENT OF UNDERFUNDED PROJECTS

At the time of Federal Authorization (E-76), the federal reimbursement rate for a project or phase of work is established by dividing the authorized federal funds by the federal participating costs of work, not to exceed the legal pro rata.

For progress invoices, the federal reimbursement rate is limited to the rate established in FMIS by the most current Federal Authorization to Proceed/Obligation of Funds (E-76) at the time of award. On the final invoice, the federal reimbursement rate may fluctuate to ensure that the local agency receives the total federal funds to which it is entitled not to exceed the legal pro rata or obligated federal funds.

3.7 LOCAL ADVANCE CONSTRUCTION PROCEDURES

When federal funds are not available for obligation due to an insufficient balance of funds or OA, a local agency may request in writing federal authorization to proceed with the project (or project phase) under advance construction procedures (see Exhibit 3-I, “Request for Local Advance Construction Authorization” in this chapter).

Under local advance construction procedures, following federal authorization to proceed, the local agency will use its own funds to perform work eligible for future federal reimbursement. The local agency must have sufficient local funds to pay for all project costs until such time as federal funds become available. An FTIP amendment may be required when the Advance Construction Authorization is converted to a real obligation of federal funds (see Exhibit 3-1 “Request for Local Advance Construction Authorization” in this chapter). The local agency must consider the risk that the federal funds may never become available.

The following local federal-aid programs are eligible for Advance Construction:

- Congestion Mitigation & Air Quality Improvement (CMAQ) Program
- Regional Surface Transportation Program (RSTP)
- Highway Bridge Program (HBP previously HBRRP)

A project authorized under advance construction procedures must comply with all federal requirements including programming in the FTIP. Local advance construction federal authorization does not constitute a commitment of federal funds to the project, and a program supplement agreement will not be issued. The Federal Authorization date establishes the start date for performing federally reimbursable work. If and when federal funds become available, a follow-up Authorization to Proceed (E-76) must be processed to obligate the federal funds (i.e., place funds under agreement with FHWA). The project or project phase must be listed in the current FTIP/FSTIP at this time. The program supplement agreement between Caltrans and the local agency also must be executed and/or finance letter signed/approved by Caltrans before a local agency can receive federal reimbursement.

NOTE: *Federal-aid projects utilizing “tapered match” provisions (discussed below) are not eligible for advance construction authorization.*

3.8 TAPERED MATCH

The use of “tapered match” provisions enables a project sponsor to vary the nonfederal share of a federal-aid project over time provided, the federal contribution toward the overall project does not exceed the federal pro rata limit.

Traditionally, a project sponsor is responsible for paying the required nonfederal share of the project costs on each invoice submitted for reimbursement. Under the tapered match approach, a nonfederal-matching ratio is assigned to the project, rather than individual payments. The federal share can be as high as one-hundred percent in the early stages of project reimbursement provided, that the overall federal contribution does not exceed the statutory federal-aid limit at the end of project completion.

Tapered match provisions cannot be used on advance construction projects, STP funded projects where the nonfederal match is being provided on program-wide-basis, and bond projects authorized under Title 23-Section 122. These activities are considered inconsistent with the intent of tapered match.

The use of tapered match provisions is subject to review and approval by both Caltrans (Office of Federal Resources) and FHWA (California Division). The project sponsor must submit written taper match plan to the DLA for review. The project sponsor shall also show that they have their matching pro rata share available and are committed to providing it as applicable. The request must include the justification and a tapered match schedule.

The FHWA may approve cases where tapered match would:

- Expedite project completion.
- Reduce the project’s overall cost.
- Provide incentive to attract additional nonfederal funds to the project.

3.9 FLEXIBLE MATCH

Federal flexible match provisions allow a wide variety of public and private contributions to be credited toward the nonfederal match for federal-aid projects. Eligible contributions include donations of public and private cash, R/W (Acquisition) and in certain cases, public and private materials or services rendered.

The use of flexible match also is subject to review and approval by both Caltrans (Office of Federal Resources) and the FHWA (California Division). The project sponsor must submit a written flexible match plan to the DLAE for review. The plan must specify the appraised value (fair market value) of donated property, materials, and/or services.

Eligibility of flexible match for credit against nonfederal match is subject to the following:

- **Cash** - Private, state, and local entity funds must be received during the period between project approval/authorization and submittal of the project final voucher.
- **Right of Way** - Private, state, local agency property may be donated any time during the project development process. The property must be appraised to determine the fair market value and must be included in the total project cost. The donation of the property shall not influence the NEPA process.
- **Materials** - Private and local entity donation of materials must be appraised to determine fair market value. Credit for state donated materials is not permitted.
- **Services** - State and local entity services may only be credited toward the nonfederal match for Transportation Enhancements (TE) projects. Private donation of services must be documented as to fair market value.

In addition to the referenced flexible match opportunities above, certain sources of federal grant funds may be eligible to match certain categories of highway projects. For more information refer to FHWA's *"Innovative Finance Primer"* Chapter 2 "Innovative Management of Federal Funds," located at:

<http://www.fhwa.dot.gov/innovativefinance/ifp/innoman.htm>

3.10 TOLL CREDIT IN-LIEU OF NON-FEDERAL MATCH

Federal-aid highway projects typically require the project sponsors to provide a certain amount of non-federal funds as match to the federal funds. For example, Surface Transportation Program (STP) funded projects require a minimum of 11.47% of non-federal matching funds. Through the use of toll-credits, the non-federal share match requirement can be satisfied by applying an equal amount of toll credit and therefore allow a project to be funded with up to 100% federal funds for federally-participating costs.

The amount of credit a state can earn is determined by the amount of toll revenue used for capital expenditures to build or improve public highway facilities. Once a credit amount is appropriately established, this credit will remain available until used by the state. The state is required to track the use of toll credit on a project-by-project basis and report such use to Federal Highway Administration (FHWA) on a regular basis.

The statutory authority for the use of toll credit was first established in Section 1044 of ISTEA that permitted the use of certain *toll* revenue expenditures as a *credit* toward the non-Federal matching share of all programs authorized by ISTEA and Title 23, thus the term "Toll Credit." Section 1111(c) of TEA-21 incorporated into 23 United States Code (USC) 120(j) toll credit provisions initially set forth in ISTEA. While this provision allows the federal obligation to be increased up to 100 percent of project costs to the extent that credits are available, the Division of Local Assistance's implementing policy for the use of toll credit on federally

funded Local Assistance projects is to apply sufficient toll credit to achieve a 100% reimbursement of federal-participating project costs.

The California Department of Transportation (Caltrans) Division of Budgets issued a statewide “Toll Credit Use Policy” as part of a demonstration program to apply \$5.7 billion of toll credits which can be used on all federal-aid highway funding programs EXCEPT for the Emergency Relief (ER) Program, Local Safety Programs, and Local On Federal-Aid System Highway Bridge Program (HBP) projects.

The use of toll credits does not generate any additional federal funding, but rather its use is merely to comply with the non-federal match requirement of the federal participating cost. As such, the use of toll credit in lieu of the non-federal share cash match is advantageous for those projects that would otherwise be delayed by the lack of matching funds. The amount of toll credit a state can use each year is limited by the amount of annual Federal Obligation Authority (OA). It is also important to point out that one of the conditions for FHWA’s approval of toll credit use is that it does not reduce the state’s non-federal transportation capital expenditures. To meet this requirement, California must demonstrate continued efforts to maintain its non-federal transportation expenditure. Although this is done on a statewide basis, it is imperative that project sponsors do not redirect local transportation funds intended for non-federal match to other purposes not related to transportation.

Toll credits can be used in any phase of a federal-aid projects, Preliminary Engineering, Right of Way, or Construction, as long as that phase of work has not been authorized previously. FHWA policy does not allow the retroactive use of toll credit on a phase of work that has received federal authorization. However, subsequent phases can be authorized to use toll credit.

In order to use toll credit, a project must meet the following requirements:

- The project is funded with funds from one of the programs listed in Caltrans’ Statewide Toll Credit Use Policy.
- The project is properly programmed in the current Federal Statewide Transportation Improvement Program (FSTIP) as using toll credits;
- Be fully funded at the maximum allowable federal reimbursement rate, excluding federally non-participating costs;
- The intended use of toll credit is explicitly expressed in the Request for Authorization (RFA) to proceed by marking the appropriate toll credit use area;
- Federal funds on the signed project finance letter must equal 100% of the total participating costs;
- The use of toll credit is indicated in the “Remarks” of the signed project Finance Letter.

The following examples demonstrate how the use of toll credit is different than the normal federal-nonfederal match funding.

Scenario A – Traditional Project Funding with Match

For a project with a total cost of \$120,000 including \$20,000 of federally non-participating costs (\$100,000 federally participating) using a federal reimbursement rate of 88.53%, the funding plan would normally be as indicated in the following Table 1.

Table 1 – Normal Funding					
Prog Code	Total Cost	Participating Cost	Federal Funds	Non-Federal Funds	Toll Credit
L240	\$120,000.00	\$100,000.00	\$88,530.00	\$31,470.00	\$0.00

The Federal Fund amount required in this scenario is 88.53% of the Participating Cost and the non-Federal Funding amount is equal to the Non-Participating amount plus the required 11.47% Non-Federal match.

Scenario B – Toll Credit Funding

When toll credit is being applied to the project, it will be used as a credit toward the non-federal share or \$11,470. Since toll credits are not federal funds, federal share must be increased to accommodate the reduction of Non-Federal funds resulting from the toll credit being used as indicated in the following Table 2.

Table 2 – Use Toll Credit					
Prog Code	Total Cost	Participating Cost	Federal Funds	Non-Federal Funds	Toll Credit
L240	\$120,000.00	\$100,000.00	\$100,000.00	\$20,000.00	\$11,470.00

The federal fund amount required is changed from \$88,530 to \$100,000, the total Participating Cost, and the non-federal funding amount is equal to the Non-Participating amount.

3.11 FTA TRANSFER

Under provisions of the ISTEA of 1991, continued by the Transportation Equity Act for the 21st Century (TEA-21), and superseded by the 2005 Safe, Accountable, Flexible, Efficient Transportation Equity Act - A Legacy for Users (SAFETEA-LU), state, regional, and local agencies have greater opportunity to select transit-related projects to meet their transportation needs. These provisions include:

- An expanded eligibility criteria under major funding programs (including STP and CMAQ) to implement both highway and transit improvements,
- The ability to transfer federal funds from one funding program to another permitting the implementing agencies to capitalize on expanded eligibility (e.g., HBP to STP), and
- The ability to transfer federal funds from the jurisdiction of the FHWA to that of the FTA and vice versa.

Section 134(k) of Title 23 (Highways) of the United States Code (USC) requires that Title 23 funds made available for public transit projects, typically administered by the FTA, be transferred from the FHWA to the FTA. These transferred funds are administered in accordance with the requirements of Chapter 53 (Mass Transportation) of Title 49 (Transportation), except that Title 23 (Highways) provisions related to the nonfederal share shall apply. Transit-related highway projects, typically administered by FHWA, should remain under the jurisdiction of FHWA. For transit projects that could be processed through either FHWA or FTA, the local agency and/or MPO may select the administering federal agency via placement of the project in the FTIP or FSTIP.

All FHWA apportioned federal funds must be programmed in an FHWA/FTA approved FSTIP prior to transferring the funds to FTA. The transferred funds must be used for the original programmed intent and remain eligible under the funding program. In other words, using the transferred federal funds for a different purpose than originally programmed is not permitted.

The FTA will only accept transfer applications from recognized transit operators. Most transit agencies are familiar with and often prefer to use FTA project implementation procedures. If a project is programmed to receive both FHWA and FTA apportioned funds, the transfer of funds facilitates the use of one set of project implementation procedures.

HIGHWAY FUNDS ELIGIBLE FOR TRANSFER

From a procedural perspective, local assistance federal funds, which can be transferred to FTA, fall into 2 categories: 1) Local federal-aid funds, and 2) Federal STIP funds. The Caltrans DLA Office and Headquarters DLA process the transfer of local federal-aid funds and Transportation Enhancements (TE) funds. The Headquarters Division of Mass Transportation (DMT) and Office of Federal Resources (OFR) process Federal STIP fund transfers except for STIP TE funds.

Local federal-aid fund categories eligible for transfer to FTA include:

- Regional Surface Transportation Program (RSTP) - Eligible transit activities include transit capital projects, including vehicles and facilities, publicly or privately owned that are used to provide intercity bus service, and safety improvements for transit. However, RSTP funds may not be used for Section 5307 (Urbanized Grant Program, discuss later) operating expenses.
- Congestion Mitigation and Air Quality Improvement (CMAQ) Program - CMAQ funds must be used to support transportation projects in air quality nonattainment areas. A CMAQ funded project must contribute to the attainment of the national ambient air quality standards by reducing pollutant emissions from transportation sources. Eligible transit activities include transit capital projects and up to three years of operating expenses for new eligible services.
- Since 2004, TE projects are programmed in the STIP; therefore, TE funds can be transferred to FTA only after the allocation by the CTC.
- FHWA Discretionary funds include High Priority Demonstration, Ferry Boat Discretionary, Federal Lands Highway Program, and Transportation and Community and System Preservation Pilot Program (TCSP) programs. These funds may only be used for the designated purpose (line item description), as authorized by Congress or FHWA.

Federal STIP funds under the programming control of the RTPAs may be transferred to the FTA but must be allocated by the CTC prior to transfer to the FTA.

FTA GRANT PROGRAMS

FHWA funds may be transferred to three different FTA Formula Grant Programs. These programs are contained in Title 49 (Transportation), Subtitle III (General Intermodal Programs), Chapter 53 (Mass Transportation) of the United States Code (USC). They are the Section 5307 "Urbanized Area Formula Grant Program," Section 5311 "Formula Grants for Other than Urbanized Areas Program," and Section 5310, "Formula Grants and Loans for Special Needs of Elderly Individuals and Individuals with Disabilities Program." These programs vary by population density and whether the purchase of buses and vans for the elderly and disabled are involved.

- **Section 5307– Urbanized Area Formula Program.**

Section 5307 Grant Program procedures are used by local agencies in urbanized areas of over 200,000 populations, as well as, in urban areas with populations of 50,000 to 200,000. Under Section 5307 Grant Program procedures, each local agency submits one grant application per fiscal year to the FTA. Following the FTA Transfer, the Applicant Agency will deal directly with the FTA on all project-related activities. Remember that the FTA only will accept grant applications from agencies that they have certified (i.e., recognized transit agencies). Noncertified agencies must find a certified project sponsor.

- **Section 5311 – Non-Urbanized Area Formula Program**

Section 5311 Grant Program procedures are used in non-Urbanized areas and cities of under 50,000 populations. Every year, the FTA allocates apportioned Section 5311 Program funds to each state. For California, Caltrans is the delegated recipient of these FTA funds. The Caltrans DMT “Office of Rural and Small Transit Operators” manages the Section 5311 Program jointly with the assistance of the District Transit Offices.

Under the Section 5311 Program, the Caltrans DMT acts as the grant applicant on behalf of the local agencies and deals directly with the FTA. The Caltrans DMT submits one annual statewide grant application to the FTA that includes both local and state-sponsored projects. Detailed procedures for the processing FTA transfers to the Section 5311 Program are contained in the Caltrans “Section 5311 Handbook and Guide” and are briefly summarized in Exhibit 3-K of this chapter, “Administrative Procedures for Transfer of Local Federal-aid Funds to Federal Transit Administration.”

- **Section 5310 – Elderly and Persons with Disabilities Program**

Section 5310 Grant Program procedures are used by nonprofit organizations and public agencies (approved by the state) for the purpose of meeting the transportation needs of the elderly and individuals with disabilities where existing public transportation services are, otherwise unavailable, insufficient or inappropriate. Similar to Section 5311 procedures, the Caltrans DMT “Specialized Federal Transit Branch” acts as the grant applicant on behalf of the local agency and works directly with FTA. Section 5310 funds typically are used to purchase vans and small buses for the elderly and persons with disabilities.

FTA TRANSFER PROCEDURES

Under ISTEA the transfer of FHWA funds to the FTA was accomplished via the Federal Authorization and Obligation Process (E-76). The transferred federal funds remained with FHWA (Washington D.C.) until the FTA submitted project invoices that were reimbursed by the FHWA.

The FHWA and FTA have since developed procedures that provide for the direct transfer of federal funds and Obligation Authority (OA) to the recipient federal agency. Caltrans submits a formal FTA transfer request to the FHWA (California Division) via a “Request for Transfer of Federal Funds to the FTA” letter (see Exhibit 3-J). Upon FHWA concurrence, the federal funds are transferred and deducted from the appropriate State and RTPA/MPO apportionment balances.

See Exhibit 3-K, “Administrative Procedures for Transfer of Local Federal-aid Funds to the Federal Transit Administration,” for a step-by-step discussion of the transfer of FHWA apportioned local federal-aid funds to the FTA.

Federal-aid funds programmed in the STIP also may be transferred to the FTA. The DLAE and DLA are **not** involved in the transfer process (except for TE funds) instead, Caltrans DMT and the Office of Federal Resources within the Division of Budgets process the transfer of these funds.

Detailed procedures for Transfer of STIP to the FTA funds under the Section 5307, 5311, and 5310 Grant programs are available on the Caltrans DMT website at:

<http://www.dot.ca.gov/hq/MassTrans/>

Upon transfer of FHWA apportioned federal funds to the FTA, the Applicant Agency, typically will deal directly with the FTA on all subsequent project-related matters. However, occasionally a FTA transfer project may qualify to receive State Match Funds through the STIP. The project must be programmed to receive the STIP State Match Funds by an RTPA/MPO and be used, eligible activities under Article XIX of the California State Constitution.

Prior to reimbursement with STIP State funds: 1) the CTC must allocate the STIP match funds, 2) a Program Supplement Agreement (PSA) between the Applicant Agency and Caltrans must be signed and executed, 3) the Applicant Agency must prepare and sign a project specific Finance Letter, and 4) the Applicant Agency must provide evidence that payment of federal funds were invoiced/received from the FTA. Invoice format and procedures must adhere to Chapter 5, "Accounting/Invoices," of the LAPM.

3.12 MPO/RTPA PROGRAMMED FUND BALANCES

Under state law, certain federal funds are apportioned to the RTPA/MPO regions by formula. These funds include RSTP and CMAQ funds. These funds are programmed to local agencies for specific projects through the FTIP/FSTIP processes. Both Caltrans and the FHWA monitor the obligation and balance of federal funds. Caltrans maintains reports showing the obligation

of funds summarized at the District, MPO and county levels. These reports show fund balances and list the individual city and county projects. Please refer to the Division of Local Assistance Home Page for balances located at:

- http://www.dot.ca.gov/hq/LocalPrograms/Reports_db.htm

3.13 REFERENCES

23 CFR 635.301 et. seq. at: <http://www.fhwa.dot.gov/legsregs/legislat.html>

23 CFR 630.106

23 CFR 645

23 CFR 940

USC 134(k)

23 USC 120(j)

49 USC, Section 5301, et. seq. (Federal Transit Laws)

A Guide to Federal-Aid, Programs, Projects and Other Uses of Highway Funds, Federal Publication No. FHWA-IF-99-006, dated May 1999

Federal-Aid Data System Instructions 06/06/02

Federal Uniform Relocation Assistance and Real Property Acquisition Act

Financing Federal-Aid Highways, Federal Publication No. FHWA-PL-99-015 dated August 1999.

Local Assistance Program Guidelines (LAPG) Web site:

<http://www.dot.ca.gov/hq/LocalPrograms/public.htm>

Joint Stewardship and Oversight Agreement (Stewardship Agreement)

<http://www.dot.ca.gov/hq/oppd/stewardship/>

SAFETEA-LU Web site: <http://www.fhwa.dot.gov/safetealu/index.htm>

**EXHIBIT 3-A REQUEST FOR AUTHORIZATION
TO PROCEED WITH PRELIMINARY ENGINEERING**

[Place this form on Local Agency Letterhead]

To: (DLAE Name)
District Local Assistance Engineer
Caltrans, Office of Local Assistance
(District Address)

Date: _____
FTIP/FSTIP ID: _____
Federal Project No: _____
EA: _____
PPNO (For STIP Projects): _____
High-Risk ITS (Phase 1 or 2): _____
Project Description: _____

Dear (DLAE Name):

In order to begin federally reimbursable preliminary engineering work for the above-referenced project, we request that you secure Federal Authorization to Proceed and Obligation of Funds. The federal funds requested will not exceed those provided to this agency in the federally approved Federal Transportation Improvement Program (FTIP)/Federal Statewide Transportation Improvement Program (FSTIP).

Attached are the following documents required to authorize this phase of work:

Request for Authorization Package

- ☐ Completed Request for PE Authorization Data Sheet (Exhibit 3-E)
- ☐ Copy of FTIP/FSTIP Reference
- ☐ Completed Finance Letter (Exhibit 3-O)
- ☐ For High-Risk (formerly "Major") ITS Projects – Phase 2 Only: FHWA approved Systems Engineering Management Plan (SEMP) (Note that federal approval of the SEMP is contingent on prior federal approval of the Systems Engineering Review Form [SERF])
- ☐ Copy of Executed Cooperative Agreement (only for projects on State Highway System)
- ☐ Request for Capital Subvention Reimbursement Allocation (Exhibit 3-H) (only for projects on State Highway System)

Toll Credit Usage

- ☐ This project will use Toll Credit. It is fully funded.
- ☐ This project will NOT use Toll Credit.

Field Review Form (Exhibit 7-B)

- ☐ Completed Field Review Form (Exhibit 7-B), or
- ☐ A Field Review Form will be submitted within four (4) months of the Federal Authorization date, otherwise, it is understood the authorization to proceed will be canceled automatically. It is further understood that a Program Supplement Agreement will NOT be prepared until after the Field Review Form is submitted.

Environmental Document

- ☐ Type of NEPA Document. Approval Date: _____.
- ☐ Categorical Exclusion (CE)
- ☐ Findings of No Significant Impact (FONSI)
- ☐ Record of Decision (ROD)
- ☐ Revalidation
- ☐ This agency has not completed the environmental process. The NEPA Document will be submitted at a later date, prior to beginning of final design (PS&E).

Disadvantaged Business Enterprise (DBE)

- ☐ All work for this phase of the project will be performed by local agency staff.
- ☐ For consultant contracts an Underutilized Disadvantaged Business Enterprise (UDBE) goal will be established for each contract and the Local Agency Proposer UDBE Commitment (Consultant Contracts) (Exhibit 10-O1) will be submitted with the proposal. Within 15 days of contract execution, the Local Agency Proposer DBE Information (Consultant Contracts) (Exhibit 10-O2) shall be forwarded to the DLAE.

Pre-Award Audit

- ☐ Completed Audit Disposition (Exhibit 10-K), or
- ☐ Audit Disposition was not completed because neither federal-aid nor state funds will be used to fund a consultant contract, or
- ☐ Pre-award audit was not performed because the consultant contract is less than \$1 million and does not meet the criteria outlined in Exhibit 10-K requiring pre-award audit, or
- ☐ Audit Disposition is not being submitted at this time. It will be submitted to the DLAE prior to entering a contract with the consultant(s).

California Transportation Commission (CTC) Allocation

- ☐ A CTC allocation is not required, or
- ☐ A CTC allocation of \$ _____ (federal/state) funds for the PA/ED and/or PS&E component(s) of work was made at the _____ meeting of the CTC, or
- ☐ A CTC allocation of funds has been scheduled for the _____ meeting of the CTC. It is understood that the authorization/obligation of any federal STIP funds will not be made until after the CTC allocation.

Project Agreement and Liquidation of Funds

Upon FHWA issuance of the "Authorization to Proceed" and Agency submittal of the "Field Review" form (Exhibit 7-B), a "Program Supplement Agreement" will be prepared to encumber the federal and/or state funds for the project. This Agency understands that any federal and/or state funds encumbered for the project are available for disbursement for limited period(s) of time. For each fund encumbrance the limited period is from the start of the fiscal year that the specific fund was appropriated within the State Budget Act, to the applicable Fund Reversion date shown on the State approved project finance letter (unless an extension is granted by the Department of Finance). It is anticipated that this phase of work will be completed by (month, year).

Invoice Submittal

This Agency understands that only relocation work performed after federal "Authorization to Proceed" (E-76) is eligible for reimbursement. Invoices for reimbursement will not be submitted until after the federal and state (if applicable) funds are encumbered via an executed "Program Supplement Agreement" and/or State approval Finance Letter. In addition, it is also understood that an invoice must be submitted at least once every six (6) months for each project phase until all funds are expended. If there are no eligible expenses, then a written explanation will be provided for that six (6) month period along with the target amount and date for the next invoice submittal.

CERTIFICATION

I certify that the facts and statements in this Request for Authorization Package are accurate and correct. This Agency agrees to comply with the applicable terms and conditions set forth in Title 23, U.S. Code, Highways, and the policies and procedures promulgated by the Federal Highway Administration and California Department of Transportation relative to the above-designated project.

I understand that this Agency is responsible for all costs in excess of the federal and/or state funds obligated / encumbered as well as for all costs it incurred prior to receiving the FHWA issued "Authorization to Proceed." I further understand that all subsequent phases of the project will require a separate "Federal Authorization to Proceed."

For High-Risk (formerly “Major”) and Low-Risk (formerly “Minor”) ITS projects, I understand that our project shall be consistent with the Regional ITS Architecture, adhere to ITS Standards, and undergo Systems Engineering analysis. A SERF will be included in the Field Review Package. For High-Risk ITS projects, I understand that this Agency shall not proceed with component detailed design until after FHWA approval of the SEMP and receipt of “Authorization to Proceed.”

Please advise us as soon as the “Federal Authorization to Proceed” has been issued. You may direct any questions to:

____ (Name of Local Agency Contact) ____ at ____ (phone number and e-mail address) ____ .

Signature of Local Agency Representative

Print Name

Title

Agency

Distribution: DLAE

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**EXHIBIT 3-B REQUEST FOR AUTHORIZATION
TO PROCEED WITH RIGHT OF WAY**

[Place this form on Local Agency Letterhead]

To: (DLAE Name)
District Local Assistance Engineer
Caltrans, Office of Local Assistance
(District Address)

Date: _____
FTIP/FSTIP ID: _____
Federal Project No: _____
EA: _____
PPNO (For STIP Projects): _____
Project Description: _____

Dear (DLAE Name):

In order to proceed with right of way phase of work for the above-referenced project, we request that you secure Federal Authorization to Proceed and obligation of funds. The federal funds requested will not exceed those provided to this agency in the federally approved Federal Transportation Improvement Program (FTIP)/Federal Statewide Transportation Improvement Program (FSTIP).

Attached are the following documents required to authorize this phase of work:

Request for Authorization Package

- ☐ Completed Request for R/W Authorization Data Sheet (Exhibit 3-E)
- ☐ Copy of FTIP/FSTIP Reference Sheet
- ☐ Completed Finance Letter (Exhibit 3-O)
- ☐ Copy of Executed Cooperative Agreement, if not previously submitted (only for projects on State Highway System)
- ☐ Request for Capital Subvention Reimbursement Authority (Exhibit 3-H) (only for projects on State Highway System)

Toll Credit Usage

- ☐ This project will use Toll Credit. It is fully funded.
- ☐ This project will NOT use Toll Credit.

Field Review Form (Exhibit 7-B)

- ☐ Completed Field Review Form (Exhibit 7-B), or
- ☐ The Field Review Form was submitted previously on _____.

Environmental Document

- ☐ Type of NEPA Document. Approval Date: _____.
- ☐ Categorical Exclusion (CE) Form
- ☐ Findings of No Significant Impact (FONSI)
- ☐ Record of Decision (ROD))
- ☐ Revalidation

Disadvantaged Business Enterprise (DBE)

- ☐ All work for this phase of the project will be performed by local agency staff.
- ☐ For consultant contracts an Underutilized Disadvantaged Business Enterprise (UDBE) goal will be established for each contract and the Local Agency Proposer UDBE Commitment (Consultant Contracts) (Exhibit 10-O1) will be submitted with the proposal. Within 15 days of contract execution, the Local Agency Proposer DBE Information (Consultant Contracts) (Exhibit 10-O2) shall be forwarded to the DLAE.

California Transportation Commission (CTC) Allocation

Check which of the following applies:

- ☐ A CTC allocation is not required, or
- ☐ A CTC allocation of funds for the right of way component of work was made at the _____ meeting of the CTC, or
- ☐ A CTC allocation of funds has been scheduled for the _____ meeting of the CTC. It is understood that the authorization/obligation of any federal STIP funds will not be made until after the CTC allocation.

Project Agreement and Liquidation of Funds

Upon FHWA issuance of the "Authorization to Proceed" (and agency submittal of the "Field Review" form [Exhibit 7-B] if not previously submitted), a "Program Supplement Agreement" and/or state approved "Finance Letter" will be prepared to encumber the federal and/or state funds for the project. This Agency understands that any federal and/or state funds encumbered for the project are available for disbursement for limited period(s) of time. For each fund encumbrance the limited period is from the start of the fiscal year that the specific fund was appropriated within the State Budget Act, to the applicable Fund Reversion date shown on the State approved project finance letter (unless an extension is granted by the Department of Finance). It is anticipated that this phase of work will be completed by _____ (month, year).

Invoice Submittal

This Agency understands that only work performed after federal "Authorization to Proceed" (E-76) is eligible for reimbursement. Invoices for reimbursement will not be submitted until after the federal and state (if applicable) funds are encumbered via an executed "Program Supplement Agreement" and/or state approval Finance Letter. In addition, it is also understood that an invoice must be submitted at least once every six (6) months for each project phase until all funds are expended. If there are no eligible expenses, then a written explanation will be provided for that six (6) month period along with the target amount and date for the next invoice submittal.

CERTIFICATION

I certify that the facts and statements in this Request for Authorization Package are accurate and correct. This Agency agrees to comply with the applicable terms and conditions set forth in Title 23, U.S. Code, Highways, and the policies and procedures promulgated by the Federal Highway Administration and California Department of Transportation relative to the above-designated project.

I understand that this Agency is responsible for all costs in excess of the federal and/or state funds obligated/encumbered as well as for all costs it incurred prior to receiving the Federal Highway Administration issued "Authorization to Proceed."

Please advise us as soon as the Authorization to Proceed has been issued. You may direct any questions to:

____ (Name of Local Agency Contact) at ____ (phone number and e-mail address) .

Signature of Local Agency Representative

Print Name

Title

Agency

Distribution: DLAE

**EXHIBIT 3-C REQUEST FOR AUTHORIZATION
TO PROCEED WITH UTILITY RELOCATION***[Place this form on Local Agency Letterhead]*

To: (DLAE Name)
District Local Assistance Engineer
Caltrans, Office of Local Assistance
(District Address)

Date: _____
FTIP/FSTIP ID: _____
Federal Project No: _____
EA: _____
PPNO (For STIP Projects): _____
Project Description: _____

Dear (DLAE Name):

In order to proceed with Utility Relocation phase of work for the above-referenced project, we request that you secure Federal Authorization to Proceed and obligation of funds. The federal funds requested will not exceed those provided to this agency in the federally approved Federal Transportation Improvement Program (FTIP)/Federal Statewide Transportation Improvement Program (FSTIP).

Attached are the following documents required to authorize this phase of work:

Request for Authorization Package

- ☐ Completed Request for R/W Authorization Form (Exhibit 3-B)
- ☐ Request for Authorization Data Sheet (Exhibit 3-E)
- ☐ Copy of FTIP/FSTIP Reference Sheet
- ☐ Completed Finance Letter (Exhibit 3-O)
- ☐ Copy of Executed Cooperative Agreement, if not previously submitted (only for projects on State Highway System)
- ☐ Request for Capitol Subvention Reimbursement Authority (Exhibit 3-H) (only for projects on State Highway System)

Toll Credit Usage

- ☐ This project will use Toll Credit. It is fully funded.
- ☐ This project will NOT use Toll Credit.

Field Review Form (Exhibit 7-B)

- ☐ Completed Field Review Form (Exhibit 7-B), or
- ☐ The Field Review Form was submitted previously on _____.

Environmental Document

- ☐ Type of NEPA Document. Approval Date: _____.
- ☐ Categorical Exclusion (CE) Form
- ☐ Findings of No Significant Impact (FONSI)
- ☐ Record of Decision (ROD)
- ☐ Revalidation

Disadvantaged Business Enterprise (DBE)

- ☐ All work for this phase of the project will be performed by local agency staff.
- ☐ For consultant contracts an Underutilized Disadvantaged Business Enterprise (UDBE) goal will be established for each contract and the Local Agency Proposer UDBE Commitment (Consultant Contracts) (Exhibit 10-O1) will be submitted with the proposal. Within 15 days of contract execution, the Local Agency Proposer DBE Information (Consultant Contracts) (Exhibit 10-O2) shall be forwarded to the DLAE.

Utility Relocation

- ☐ This Agency agrees to comply with 23 CFR 645.119 “Alternate Procedure” (as explained in Chapter 13, “Right of Way,” and Chapter 14, “Utility Relocations,” of the LAPM). This alternate procedure is provided to simplify the processing of utility relocations or adjustments under the provisions of 23 CFR 645. Under this procedure, the FHWA authorized the Department of Transportation (Caltrans) to act in relative position of the FHWA for review and approval of the arrangements, fees, estimates, plans, utility agreements, and other related matters required by such regulation as prerequisites for authorizing the utility owner to proceed with and complete the work.

It is understood that the scope of the Department’s approval authority under the Alternate Procedure includes all actions necessary to advance and complete all types of utility work under the provisions of such regulation, except Section 645.119 (B)(1) and 645.119 (b)(2). Two of such documents that need the Department’s approval are FHWA Specific Authorization and FHWA Approval of the Utility Agreement(s). See Chapter 14, “Utility Relocations,” of the LAPM for more information on the activities necessary for federal participation in utility relocations. The approval authority has been delegated to the Right of Way District Utility Coordinators.

California Transportation Commission (CTC) Allocation

Check which of the following applies:

- ☐ A CTC allocation is not required, or
- ☐ A CTC allocation of funds for the right of way component of work was made at the _____ meeting of the CTC, or
- ☐ A CTC allocation of funds has been scheduled for the _____ meeting of the CTC. It is understood that the authorization/obligation of any federal STIP funds will not be made until after the CTC allocation.

Project Agreement and Liquidation of Funds

Upon FHWA issuance of the “Authorization to Proceed” (and agency submittal of the “Field Review” form [Exhibit 7-B] if not previously submitted), a “Program Supplement Agreement” and/or state approved “Finance Letter” will be prepared to encumber the federal and/or state funds for the project. This Agency understands that any federal and/or state funds encumbered for the project are available for disbursement for limited period(s) of time. For each fund encumbrance the limited period is from the start of the fiscal year that the specific fund was appropriated within the State Budget Act, to the applicable Fund Reversion date shown on the State approved project finance letter (unless an extension is granted by the Department of Finance). It is anticipated that this phase of work will be completed by _____ (month, year).

Invoice Submittal

This Agency understands that only relocation work performed after federal “Authorization to Proceed” (E-76), approval of the Specific Authorization, and appropriate Utility Agreement is eligible for reimbursement. Invoices for reimbursement will not be submitted until after the federal and state (if applicable) funds are encumbered via an executed “Program Supplement Agreement” and/or state approval Finance Letter. In addition, it is also understood that an invoice must be submitted at least once every six (6) months for each project phase until all funds are expended. If there are no eligible expenses, then a written explanation will be provided for that six (6) month period along with the target amount and date for the next invoice submittal.

CERTIFICATION

I certify that the facts and statements in this Request for Authorization Package are accurate and correct. This Agency agrees to comply with the applicable terms and conditions set forth in Title 23, U.S. Code, Highways, and policies and procedures promulgated by the Federal Highway Administration and California Department of Transportation relative to the above-designated project.

I understand that this Agency is responsible for all costs in excess of the federal and/or state funds obligated/encumbered, as well as, for all costs it incurred prior to receiving the FHWA issued Authorization to Proceed

Please advise us as soon as the Authorization to Proceed has been issued. You may direct any questions to:

____ (Name of Local Agency Contact) at ____ (phone number and e-mail address) ____ .

Signature of Local Agency Representative

Print Name

Title

Agency

Distribution: DLAE

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EXHIBIT 3-D REQUEST FOR AUTHORIZATION TO PROCEED WITH CONSTRUCTION

[Place this form on Local Agency Letterhead]

To: (DLAE Name)
District Local Assistance Engineer
Caltrans, Office of Local Assistance
(District Address)

Date: _____
FTIP/FSTIP ID: _____
Federal Project No: _____
EA: _____
PPNO (For STIP Projects only): _____
Project Description: _____

Dear (DLAE Name):

In order to advertise, award and administer the construction contract for the above-referenced project, we request that you secure Federal Authorization to Proceed and obligation of funds. The federal funds requested will not exceed those provided to this agency in the federally approved Federal Transportation Improvement Program (FTIP)/Federal Statewide Transportation Improvement Program (FSTIP).

Attached are the following documents required to authorize this phase of work:

Request for Authorization Package

- ☐ Completed Request for Construction Authorization Data Sheet (Exhibit 3-E)
- ☐ Copy of FTIP/FSTIP Reference Sheet
- ☐ Completed Finance Letter (Exhibit 3-O)
- ☐ Copy of Executed Cooperative Agreement (only for projects on State Highway System)
- ☐ Request for capital Subvention Reimbursement Authority (Exhibit 3-H) (only for projects on State Highway System)

Toll Credit Usage

- ☐ This project will use Toll Credit. It is fully funded.
- ☐ This project will NOT use Toll Credit.

Field Review Form (Exhibit 7-B)

- ☐ Completed Field Review Form (Exhibit 7-B), or
- ☐ The Field Review form previously was submitted on _____.

Environmental Document

- ☐ Type of NEPA Document. Approval Date: _____.
- ☐ Categorical Exclusion (CE) Forms
- ☐ Findings of No Significant Impact (FONSI)
- ☐ Record of Decision (ROD)
- ☐ Revalidation

Disadvantaged Business Enterprise (DBE)

- ☐ All work for this phase of the project will be performed by local agency staff.
- ☐ For construction contracts an Underutilized Disadvantaged Business Enterprise (UDBE) goal will be established for each contract and the Local Agency Bidder UDBE Commitment (Construction Contracts) (Exhibit 15-G1) will be submitted with each bid by the bidders. Within 15 days of contract execution, the Local Agency Bidder DBE Information (Construction Contracts) (Exhibit 15-G2) shall be forwarded to the DLAE.

Right of Way Certification (Exhibit 13-A or 13-B)

Right of Way Certification #_____ which was approved on _____ is:

- ☐ Attached, or
- ☐ Previously Submitted.

PS&E Package and PS&E Certification

- ☐ Completed PS&E package, PS&E Certification (Exhibit 12-C), and PS&E Checklist (Exhibit 12-D), or
- ☐ The PS&E package, PS&E Certification, and PS&E Checklist were submitted and accepted on _____.

Local Agency Construction Contract Administration Checklist

- ☐ Local Agency Construction Contract Administration Checklist (Exhibit 15-A), or
- ☐ The Local Agency Construction Administration Checklist was submitted previously and our procedures have not changed.

California Transportation Commission (CTC) Allocation

Check which of the following applies:

- ☐ A CTC allocation is not required, or
- ☐ A CTC allocation of funds for the construction component of work was made at the _____ meeting of the CTC, or
- ☐ A CTC allocation of funds has been scheduled for the _____ meeting of the CTC. It is understood that the authorization/obligation of any federal STIP funds will not be made until after the CTC allocation.

Project Agreement and Liquidation of Funds

Upon FHWA issuance of the "Authorization to Proceed" (and agency submittal of the "Field Review" form [Exhibit 7-B], if not previously submitted), a "Program Supplement Agreement" and/or state approved "Finance Letter" will be prepared to encumber the federal and/or state funds for the project. This Agency understands that any federal and/or state funds encumbered for the project are available for disbursement for limited period(s) of time. For each fund encumbrance the limited period is from the start of the fiscal year that the specific fund was appropriated within the State Budget Act, to the applicable Fund Reversion date shown on the State approved project finance letter (unless an extension is granted by the Department of Finance). It is anticipated that this phase of work will be completed by _____ (month, year).

Invoice Submittal

This Agency understands that project construction contracts advertised prior to federal authorization are NOT eligible for reimbursement. It is also understood that construction-engineering cost must be specifically included and authorized in the federal Authorization to Proceed with Construction to be eligible for reimbursement. If construction engineering (CE) is authorized after construction begins, only those construction-engineering costs incurred after the date the CE is authorized are eligible for reimbursement.

Invoices for reimbursement will not be submitted until after the federal and state (if applicable) funds are encumbered via an executed "Program Supplement Agreement" and/or state approved Finance Letter. It is understood that an invoice must be submitted at least once every six (6) months for each project phase until all funds are expended. If there are no eligible expenses then a written explanation will be provided for that six (6) month period along with the target amount and date for the next invoice submittal.

CERTIFICATION

I certify that the facts and statements in this "Request for Authorization Package" are accurate and correct. This Agency agrees to comply with the applicable terms and conditions set forth in Title 23, U.S. Code, Highways, and the policies and procedures promulgated by the Federal Highway Administration and California Department of Transportation relative to the above-designated project.

I understand that upon submittal of this request and a completed "Field Review" form, the federal and/or state funds will be encumbered via a Program Supplement Agreement and /or state approved Finance Letter. This Agency will comply with the liquidation deadlines as explained in Government Code 16304.

I understand that this Agency is responsible for all costs in excess of the federal and/or state funds obligated/encumbered and all costs it incurred prior to receiving the FHWA issued "Authorization to Proceed" for this phase of the project

Please advise us as soon as the "Authorization to Proceed" has been issued. You may direct any questions to:

____ (Name of Local Agency Contact) at ____ (phone number and e-mail address) ____.

Signature of Local Agency Representative

Print Name

Title

Agency

Distribution: DLAE

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EXHIBIT 3-E REQUEST FOR AUTHORIZATION TO PROCEED DATA SHEET(S)**PROJECT REFERENCE DATA**

DIST-CO-RTE-AGENCY: _____
 FEDERAL PROJECT NO.: _____
 CALTRANS EA: _____

FTIP / FSTIP ID: _____
 PPNO (STIP): _____
 CTIPS REFER. NO.: _____
 BRIDGE NO.(s): _____

RESPONSIBLE/IMPLEMENTING AGENCY

RESPONSIBLE AGENCY: _____ IMPLEMEN. AGENCY: _____

PROJECT DESCRIPTION

PROJECT TITLE: _____
 WORK DESCRIPTION: _____

PROJECT LOCATION

PROJECT LOCATION: _____

URBAN (IZED) AREA: _____ INDIAN RESERV. : (Y/N) _____
 CONG. DIST. & %'s: _____ TOLL ROAD: (Y/N) _____
 RURAL (Y/N): _____

FEDERAL AID ROUTE

FED-AID SYSTEM: (Y/N) _____ FUNTACIONAL CLASSIF. : _____
 STATE HWY: (Y/N) _____ STATE ROUTE: _____

ADMINISTERING AGENCY

LOCAL or CALTRANS (CT): _____ IF CT, PROJ. MANAGER: _____

THIS FEDERAL AUTHORIZATION REQUEST

OVERSIGHT: [] DELEGATED or [] HIGH PROFILE
 ADV. CON. (Y/N): _____ 100% SAFETY (Y/N): _____

COST SUMMARY:

PHASE OF WORK	TOTAL	FED PART	FED 1	FED 2	STATE	OTHER	LOCAL
PREV. OBLIG	_____	_____	_____	_____	_____	_____	_____
THIS REQUEST	_____	_____	_____	_____	_____	_____	_____
SUBTOTAL	_____	_____	_____	_____	_____	_____	_____

PHASE OF WORK	TOTAL	FED PART	FED 1	FED 2	STATE	OTHER	LOCAL
PREV. OBLIG	_____	_____	_____	_____	_____	_____	_____
THIS REQUEST	_____	_____	_____	_____	_____	_____	_____
SUBTOTAL	_____	_____	_____	_____	_____	_____	_____
TOTAL	_____	_____	_____	_____	_____	_____	_____

FEDERAL DEMONSTRATION PROJECT INFORMATION

PUBLIC LAW, SECTION: _____ FEDERAL DEMO ID: _____
 LEGISLATIVE. PROJECT NO.: _____ ESTIM. CONST. DATE: _____
 RELATED DEMO PROJECTS: _____

Exhibit 3-E
Request for Authorization to Proceed Data Sheet(s)

Local Assistance Procedures Manual

FTIP / FSTIP DATA

MPO/RTPA NAME: _____ FTIP / FSTIP YEAR: _____
FED. FUNDED PHASES: _____ SHEET OR AMD. NO.: _____
APPROVAL DATE: _____
FED FUND TYPES/TOTALS: _____ APPRV'D EPSP (Y or N): _____

DISADVANTAGED BUSINESS ENTERPRISE (DBE) SUBMITTALS:

Race Conscious Implementation Agreement (Exhibit 9-A) CT APPROVAL DATE: _____
Local Agency DBE Annual Submittal Form (Exhibit 9-B):
FED FISCAL YEAR: _____ CT APPROVAL DATE: _____

INITIAL AUTHORIZATION & ESTIMATED COMPLETION DATES

<u>PHASE OF WORK</u>	<u>INITIAL FEDERAL AUTHORIZATION DATE</u>	<u>ESTIMATED COMPLETION DATE</u>
PE	_____	_____
RW	_____	_____
CON	_____	_____

ENVIRONMENTAL DATA

NEPA DOCUMENT TYPE:

<input type="checkbox"/> CE	_____	Date Caltrans SEP/DLAE signed CE Form (use the latest date)
<input type="checkbox"/> EA / FONSI	_____	Date Caltrans DD (DDD or designee) signed the FONSI
<input type="checkbox"/> EIS / ROD	_____	Date Caltrans signed the ROD
EIS Number	_____	Year of Public Release of EIS and EIS number (assigned by FHWA)
AIR BASIN	_____	(For CMAQ Program Funds)

R/W ESTIMATE

R/W ACQ PARCELS: _____ \$ _____
RAP (FAMILY): _____ \$ _____
(BUSINESS): _____ \$ _____
LRH/HRDSHP: _____ \$ _____
UTILITIES: _____ \$ _____
SUPPORT: _____ \$ _____
TOTAL: _____ \$ _____

UTILITY RELOCATION / ADJUSTMENTS

<u>UTILITY OWNER</u>	<u>UTILITY TYPE</u>	<u>COST TO RELOCATE</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____
TOTAL UTILITY RELOCATION COSTS		_____

DESCRIPTION OF R/W PARCELS BY TYPE OF ACQUISITION/ACTIVITY

<u># PARCELS</u>	<u>ACQUISITION TYPE AND/OR ACTIVITY</u>	<u># ACRES</u>	<u>EST. COST</u>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

R/W CERTIFICATION

R/W CERT. NO. _____ Date Approved by Caltrans: _____

LOCAL AGENCY COMMENTS

THIS REQUEST PREPARED BY:

NAME: _____
TITLE: _____
PHONE NO.: _____
E-MAIL: _____

AGENCY CONTACT FOR PROGRAM SUPPLEMENT AGREEMENT

NAME: _____
TITLE: _____
PHONE NO.: _____
E-MAIL: _____

Distribution: DLAE

EXHIBIT 3-F INSTRUCTIONS FOR REQUEST FOR AUTHORIZATION DATA SHEET(S)**General**

“Request for Authorization (RFA) Data Sheets” (Exhibit 3-E) must be submitted whenever a local agency desires federal participation in a phase of work for the project. The completed RFA data sheets provide the basic project information necessary for Caltrans and FHWA to process a request for federal authorization. A federal “Authorization to Proceed” (E-76) must be issued prior to beginning work for which federal reimbursement is sought and before the project is advertised for construction.

Dist.-Co.-Rte-PM/Agency: Complete the District, County, Route (State Route only or 0 (zero), Post Mile limits (State Route only) or 4-digit Agency abbreviation. This group of characters is called the Project Locator.

FTIP/FSTIP ID No.: This project ID number is assigned by the Regional Transportation Planning Agency (RTPA) or Metropolitan Planning Organization (MPO) and references the project in the regional Federal Transportation Improvement Program (FTIP) and Statewide Federal State Transportation Improvement Program (FSTIP). All projects that receive federal “Authorization to Proceed” must be listed in the triennial element of the current federally approved FTIP/FSTIP. This project ID number is available at the regional RTPA/MPO web site in the Caltrans CTIPS system referenced below.

FHWA requires that all federally funded phases of work be specifically listed in the federally approved FTIP/ FSTIP. Phases of work not listed must be amended into the FTIP/FSTIP via a TIP amendment prior to the authorization/obligation of federal funds.

Federal Project Number: The Federal Project Number (FPN) is the major federal project identifier and must be reported for all federal-related transactions. The last seven (7) numeric digits of the FPN are used to identify the project in both the Caltrans’ Federal Aid Data System (FADS) and the Federal Management Information System (FMIS). Typically, the alpha/numeric characters preceding the last seven numeric digits of the FPN are used to identify the federal funding program (for ongoing multi-year projects the fiscal year of programming may also be identified). For the initial project federal authorization, the Caltrans District Local Assistance Engineer (DLAE) or Division of Local Assistance (DLA) will assign the FPN. On subsequent authorization requests, enter the FPN previously assigned.

Project Planning Number (PPNO): For projects financed, in whole or in part with funds from the State Transportation Improvement Program (STIP), Caltrans will assign a project PPNO. Project PPNOs are available at Caltrans maintained California Transportation Improvement Program System (CTIPS) web site.

Caltrans Expenditure Authorization (EA): The EA is the primary state identifier for transportation projects financed with federal and/or state funds. The first two (2) characters of the EA identify the Caltrans District number (01, 02, ... 12). The next 6 characters identify the six (6) digits of the EA (the combined eight (8) characters are referred to as the Primary EA). The suffix to the EA may contain up to five (5) characters, including an “S” or “L.” For projects funded with local assistance federal funds (including Regional Improvement Program Funds from the STIP), an “L” suffix is used at the end of the Primary EA. The Caltrans Division of Local Assistance administers local assistance federal funds. For the initial program authorization, the DLAE establishes the EA to be used. On subsequent authorization request, enter the EA previously assigned.

CTIPS Reference No.: Enter the thirteen (13)-character California Transportation Improvement Program System (CTIPS) reference number. The MPO FTIP/FSTIP project ID number may be used if a CTIPS reference number is not available. The (CTIPS) project number is assigned by Caltrans and is available at the Caltrans maintained CTIPS.

Bridge No.: This number is required for all projects that involve bridge replacement, rehabilitation or seismic retrofit work. Enter the National Bridge Inventory (NBI) structure number of the bridge(s) to be replaced, rehabilitated, or retrofitted. The NBI structure number(s) are available via the Caltrans Division of Local Assistance Highway Bridge (HBP) web site at <http://www.dot.ca.gov/hq/LocalPrograms/>

The NBI structure number format is XXYZZZZS where XX represents the two (2) digits county number (01-58); Y is the bridge owner; ZZZZ is the actual bridge number; S represents the suffix for the bridge.

Preliminary Engineering and Right of Way activities using HBP funds also must report NBI structure number(s).

Responsible Agency: The responsible agency is the agency receiving the federal funds and preparing the "Request for Authorization." This agency is ultimately responsible for implementation of the project. Typically, this agency will provide the required match to federal funds and maintains the completed facility. The responsible agency must enter into a project funding agreement directly with the state for project design, construction, etc., but also may enter into a separate agreement with a city, county or other entity to implement and administer the project or project phase on their behalf.

Implementing Agency: Name of agency implementing the project or project phase on behalf of the responsible agency. Discuss in the Local Agency Comments section of the RFA data sheets.

Project Title: Enter the project title as listed in the current federally approved FTIP/FSTIP.

Work Description: Provide a brief description of the work for which federal participation is being sought. The description of work must be consistent with the federally approved FTIP/FSTIP. Changes in project scope or limits will require prior RTPA/MPO concurrence and FTIP/FSTIP amendment. For changes in project scope or limits, a **revised "Authorization to Proceed" must be approved by FHWA.**

When planning projects are involved, identify the time period that the project covers.

Project Location: Enter a brief description for the project limits that includes a U.S., State or local route(s). The description should reference the project by municipal boundaries, county lines, intersecting highways, streams, railroad crossings, etc. If more space is needed to describe a multi-location project attach a separate listing of project limits for each project locations.

For projects located in urban areas, identify the city and relate the project to named places as space permits.

Urban Area Name: As defined in Section 101, Title 23 of the U.S.C., an urbanized area is an area having a population of 50,000 or more persons. An attributable urbanized area is an urban area having a population of 200,000 or more and eligible to receive Federal Urbanized Area funds. The following is a list of the currently recognized urbanized areas within the State:

Los Angeles-Long Beach	Santa Rosa
San Francisco-Oakland	Seaside-Monterey
San Diego	Antioch-Pittsburg
San Jose	Lancaster
Sacramento	Hesperia-Apple Valley-Victorville
San Bernardino-Riverside	Indio-Coachella
Fresno	Concord
Bakersfield	Mission Viejo
Stockton	Temecula-Murrieta
Oxnard-Ventura	Thousand Oaks
Modesto	

Indian Reservation: Indicate (Y/N) whether or not the project is located on an Indian Reservation.

Congressional Districts: Enter the congressional district(s) that are impacted by the project and the percentage of funds for each district.

Toll Road: Indicate (Y/N) if a toll road is involved. To monitor toll road projects or work performed on toll roads, enter a “Y.”

Rural Area: Defines as an area having a population of less than 50,000.

Federal-Aid System: Indicate the federal-aid system on which the project is located. Valid entries are:

Interstate
NHS Non-Interstate
Other Federal-aid System
Not on Any Federal-aid System

Functional Classification: Streets and highways are grouped into classes or systems according to the character of service they provide. If there are multiple functional classifications involved, enter the higher classification. Valid entries for functional classification are:

Freeway and Expressway
Principal Arterial
Minor Arterial
Major Collector Minor Collector
Local
No Functional Class

State Highway: Indicate (Y/N), whether or not the project is located within the right of way limits of an existing or proposed state highway. If so, enter the State Highway Route number (e.g., I-405).

Administering Agency (Local or Caltrans): Indicate the name of the agency administering the project. If the project is located on a state highway and Caltrans is the project administrator, enter the name of the Caltrans Project Manager.

FHWA Oversight: Indicate whether or not this project is “Delegated” or “High Profile” (see Section 2.5 High Profile Projects, and Figure 2-1 High Profile Project Identification Process, in Chapter 2 of the LAPM).

The criteria for High Profile project consideration are:

- Controversial and Congressional Interest projects
- Pilot projects
- Executive Order 13274 projects – Environmental Stewardship and Streamlining
- Interstate Projects containing:
 - Design exceptions relating to the 13 controlling criteria
 - New or modified access points
 - Innovative contracting method projects with Federal funds
- Invitational projects
- Major Intelligent Transportation Systems (ITS) projects
- Major Projects (>\$500M)
- Non-Traditional Revenue Sources projects
- Special Experimental Projects – Alternative Contracting (SEP-14)
- Special Experimental Projects Public Private Partnership (SEP-15)
- Unusual Bridge and Structure projects

High Profile projects require an FHWA/Caltrans signed Project Oversight Agreement (see Exhibit 2-D in Chapter 2 LAPM).

Advance Construction Authorization: Indicate (Y/N) whether or not an Advance Construction Authorization is being requested. If so, a local agency must submit a “Request for Advance Construction Authorization” form (see Exhibit 3-I).

100% Safety Eligible: Indicate (Y/N), whether or not this project is using 100% Safety funds in accordance with Title 23 of United States Code (U.S.C.) Section 120.

Cost Summary: Identify all project-related costs through the current request. The “TOTAL” cost of work is the sum of both the total federal participating and nonfederal participating project costs. The “federal participating” cost is equal to the cost of all work eligible for federal participation. Identify the “federal funding program and dollar amount” for each phase of work. Identify the funds previously obligated as well as these funds current request. The total federal funds obligated should not exceed the funds programmed in the federally approved FTIP/FSTIP (unless prior approval is received from appropriate MPO/RTPA), Caltrans Administered Federal Program (such as Bridge, Safety) or allocated by the FHWA (discretionary/earmarked federal funds).

Finally, enter the “LOCAL” and/or other types of federal matching funds. Identify previous obligations and the current request for each phase of work. (If more space is needed, use a separate sheet of paper.)

Public Law, Section, and Legislated Project No: Identify the Public Law, Section and Legislated Project No. identifying to DEMO project.

Federal DEMO ID: This five (5) character alphanumeric identifier is required for all Demonstration (DEMO) funded projects. The first two characters are alpha (represent name of state) and the last three (3) characters are numeric (sequential number for the state), e.g., CA015, CA016.

The federal DEMO ID is assigned by the FHWA and relates to a specific DEMO project identified in public law. The DEMO ID is listed in the allocation memo to the FHWA Division office in Sacramento from the FHWA in Washington, D.C.

(DEMO) Estimated Construction Date: Enter the estimated start date (MM/YYYY) of physical construction for the DEMO project with its appurtenant facilities. This information must be reported for all DEMO funded projects. This includes any removal, adjustment or demolition of buildings or major obstructions, and utility or railroad work that is a part of the contract for physical construction.

Related DEMO Project(s): Occasionally, a DEMO funded transportation project is funded by multiple DEMO IDs. FHWA administrative procedures require that a separate federal project numbers be established for each DEMO ID to facilitate the tracking of federal funds on a DEMO ID basis. For projects funded with multiple DEMO IDs, cross-reference any directly related FPNs.

MPO/RTPA: Enter the name of the Metropolitan Planning Organization (MPO) or Regional Transportation Planning Agency (RTPA) within which the project is located.

Federal Funded Phases: Identify the project phases of work programmed to receive federal funds in the FTIP/FSTIP.

Federal Fund Types: Identify all fund types by federal or state program (e.g. STPL, CMAQ, HBP, STIP, etc.) and amounts programmed for the project.

FTIP/FSTIP/Year and No.: Enter the Federal Fiscal Year the FTIP/FSTIP was approved. For amendments to the FTIP/FSTIP, enter the amendment number and approval date. Federal Fiscal Year 2003/2004 is identified as 03/04

Approval Date: Enter the date that the Federal Highway Administration (FHWA) and Federal Transit Administration (FTA) approved the FTIP or FSTIP (or amendment thereto) for the work being authorized. Enter the date in a MM/DD/YY (i.e., 10/05/02) format.

Approved Expedited Project Selection Procedures (EPSP): Indicate (Yes or No) whether or not Caltrans has approved the appropriate MPO/RTPA’s EPSP.

Disadvantage Business Enterprise (DBE) Submittals: Enter the Caltrans Approval date of the California Department of Transportation DBE Implementation Agreement for Local Agencies (Exhibit 9-A). Enter the Caltrans Approval date for the current FFY Local Agency DBE Annual Submittal Form (Exhibit 9-B). The Local Agency must have a completed California Department of Transportation DBE Implementation Agreement for Local Agencies, and the current FFY Local Agency DBE Annual Submittal Form approved by Caltrans prior to the Agency's initial request for federal authorization. For this reason, the approval process for submitting the Local Agency DBE Annual Submittal Form should start well in advance of the planned date of first federal authorization. The approval date should be entered in a MM/DD/YY (i.e., 09/20/06) format.

Initial Federal Authorization Dates: Enter the federal authorization date for each phase of work as the project progresses through the project development process. This date represents the eligibility date for the start of federally reimbursable work. Federally reimbursable work may begin on the date that the FHWA (Sacramento) approves/authorizes (via electronic signature) the E-76. Work done prior to the FHWA authorization date shown on the E-76 will not be federally reimbursable.

Estimated Completion Date: Enter the estimated completion date for each phase of work.

Environmental Data: Identify the NEPA Class of Action (CE, EA or EIS) for the project by inserting a check mark next to the appropriate class and indicate the date the NEPA Determination or document was signed. For EISs, indicate the year of the public release of the EIS and the EIS Number (assigned by FHWA).

A copy of the signed NEPA Determination or document should accompany the requests for Authorization to Proceed with Right of Way and/or Construction.

Air Basin: The name of the Air Basin is required for projects funded with federal Congestion and Air Quality Improvement Program (CMAQ) funds.

Right of Way Acquired Parcels: Report the number of right of way parcels to be acquired and the estimated cost.

Family Relocation Assistance Payments (RAP-Family): Report the total number of family relocation assistance payments to be made and the estimated costs.

Business Relocation Assistance Payments (Business): Report the total number of business relocation assistance payments to be made and the estimated costs.

Last Resort Housing/Hardship (SRH/HRDSHP): Report the total number of Last Resort Housing/Hardship payments to be made and the estimated costs.

Utilities: Report the total estimated amount of utility payments to be made. Enter the amount to the nearest dollar.

Support: Report the total estimated dollar amount of the support payments to be made. Enter the amount rounded to the nearest dollar.

Total: Sum of all the R/W estimates above.

Utility Relocations/Adjustments: Enter the name of the utility owner, type of utility, and estimated cost to relocate/adjust each utility for which federal reimbursement is being requested. The local agency must be totally obligated to pay for the utility relocation work. Refer to Chapter 14, "Utility Relocations," of the *Local Assistance Procedures Manual* (LAPM) for requirements and information related to federal participation in utility relocation work.

#Parcels: Enter the number of parcels for each type of acquisition and/or activity

Acquisition Type and/or Activity: Enter the type of acquisition (residential, business or easement, partial or full take, etc.) and/or Activity (relocation assistance, type of easement, other type of compensation, etc.)

Acres: Enter the number of acres attributable to each acquisition type and/or activity.

Estimated Cost: Enter the estimated cost attributable to each acquisition type and/or activity.

Right of Way Certification: Enter the Right of Way Certification status (1,2, or 3) as defined in 23 CFR 635.309 and Chapter 13 “Right of Way” of the LAPM and enter the date the Right of Way Certification was accepted by the Caltrans Right of Way official.

Local Agency Comments: Provide any important project information related to the current request for authorization. If more space is needed, submit the information on a separate sheet of paper.

Person Preparing Request for Authorization: Enter the name, title, e-mail address, and phone number of the person preparing the request for authorization and to whom questions may be addressed.

Contact for Program Agreement: Enter the name, title, phone number and e-mail address of the person to whom the project funding agreements should be sent for signature by the local agency.

EXHIBIT 3-G FEDERAL PROJECT LOG SHEET (MINIMUM REQUIREMENTS)
(For District use only)

TO: _____ AREA ENGINEER Department Of Transportation Division of Local Assistance - MS 1 1120 N Street, Sacramento, CA 95814 Mail: _____ P.O. Box 942874 Sacramento, CA 94274-0001	Dist., Cty, Rte, Agency: _____ Fed. Aid Project No: _____ E.A. Number: _____ Date: _____
---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------------------------------

From: _____

DLAE, District No. _____

Caltrans, Office of Local Assistance

	Prefix Chklist	FTIP/FTIP Sht	FTA Grant App. * ₁	Field Rev. Form	Request for CSRA * ₂	Req. for Auth.	Req. for FTA Tran.	E-76	"SERF" ITS Projects	Finance Letter	Approved NEPA Document	Spec. Auth. Of Util. Est.	R/W Certification	PS&E Cert. & Chklist.	Preliminary Engineering Estimate	Cont. Award Chklist.	Detail Estimate	Approved DBE Submittals	R.O.E. * ₃	Date (HQ use only)
<u>PRELIM. ENG.</u>																				
Authorization	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>							<input type="checkbox"/>	
Program Suppl't				<input type="checkbox"/>						<input type="checkbox"/>										
Cost Adjustment		<input type="checkbox"/>						<input type="checkbox"/>		<input type="checkbox"/>										
<u>R/W</u>																				
Authorization	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>							<input type="checkbox"/>	
Cost Adjustment		<input type="checkbox"/>						<input type="checkbox"/>		<input type="checkbox"/>										
<u>CONST & CE</u>																				
Authorization	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				<input type="checkbox"/>	
Award Package* ₄										<input type="checkbox"/>						<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Cost Adjustment		<input type="checkbox"/>						<input type="checkbox"/>		<input type="checkbox"/>							<input type="checkbox"/>			
<u>FTA TRANSFER</u>																				
	<input type="checkbox"/>	<input type="checkbox"/>					<input type="checkbox"/>			<input type="checkbox"/>										
<u>PROJECT COMPLETION</u>																				
																			<input type="checkbox"/>	

Legend: ☐ = Required Document ☐ 1 = The first two-sheets of field review form ☐ 3 = Required prior for first authorization of FFY ☐ 5 = Required for Final Design

☐ = Required if not submitted previously or have significant change since ☐ 2 = Only req'd if there are STIP Match \$ (Not often) ☐ 4 = Required for Fed. Part. Util. Reloc.

*1 FTA Grant Appl'n = Copy of grant appl'n funding info. For agencies using Sect. 5307 & 5336 procedures

*2 Request for Subvention Reimbursement Allocation - ONLY required for State Highway System projects

*3 Report of Expenditures; see Chapter 17, Project Completion, Local Assistance Procedure Manual

*4 Award Package, see Chapter 15, "Advertise & Award Project", LAPM

Updated 04/30/10

Distribution: DLAE Use

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EXHIBIT 3-H REQUEST FOR CAPITAL SUBVENTION REIMBURSEMENT ALLOCATION*(For Projects on the State Highway System Financed with Local Assistance Funds)*

To: Division Chief,
Division of Budgets
Attention: Capital Budgets Branch

Date: _____
Dist/Co/Rte: _____
PM: _____
FTIP/FSTIP ID: _____
Fed. Project No.: _____
EA: _____
PPNO: _____

Re: REQUEST FOR CAPITAL SUBVENTION REIMBURSEMENT ALLOCATION

PROJECT DESCRIPTION:*(Scope of work and project limits)***AGREEMENT:**

Local Agency: _____ *(Local Agency Contributing Funds)*
Agreement Type / Number: _____ *(e.g., Cooperative, Contribution, Program Supplement etc.)*
Previously Approved Amount: _____ *(e.g., Previously Approved Subvention Funds)*
Amount This Request: _____ *(e.g., Subvention Funds this Request)*
Total Amount: _____ *(e.g., Total Subvention Funds)*

PROGRAM, CATEGORY OF EXPENDITURES & FISCAL YEAR:

Fund Program Code: _____ *(e.g., "20.20.400". "or "20.20.075" if funded from RIP)*
Category of Expenditure: _____ 121998 (always)
Fiscal Year (FY): _____ *(Current FY: Accounting, Budgets or Subvention Branch may revise if necessary)*

REQUESTED BY:

Project Manager Name: _____
Project Manager Signature: _____
Project Manager Phone No: _____
DLAE Name: _____
DLAE Signature: _____
Date: _____

CONCURRED BY: _____, Office Chief,
Office of Project Delivery and Funding
Division of Local Assistance
Date: _____

APPROVAL: *(By Capital Outlay Unit, Division of Budgets)*

Name: _____

Title: _____

Date: _____

- 1) For State Hwy projects administered by Caltrans, the Caltrans Project Manager should complete and sign this form.
- 2) For State Hwy projects administered by a local agency, the Caltrans DLAE should complete and sign this form.

Distribution: (1) Local Programs Accounting
(2) District XX Resource Management
(3) Division of Local Assistance, Subvention Management Branch
(4) Highway Appropriation and Management Section- Accounting
(5) DLAE

EXHIBIT 3-I REQUEST FOR LOCAL ADVANCE CONSTRUCTION AUTHORIZATION
(On Local Agency Letterhead)

To: (DLAE Name) Date: _____
District Local Assistance Engineer FTIP/FSTIP ID: _____
(District Address) EA: _____
Project Description: _____

Re: Request for Advance Construction Authorization for (Project Phase) for (Project Title) at (Project Location)

Dear: (DLAE Name)

The *(Name of Local Agency)* requests federal Advance Construction authorization for the *(Preliminary Engineering, Right of Way, Construction and/or Construction Engineering)* phase(s) of work for the above referenced project.

(Indicate local agency reasons/justification for requesting Advance Construction Authorization)

The *(Name of Local Agency)* understands that currently there are insufficient federal transportation funds (and/or Obligation Authority (OA)) to obligate the appropriate funds for the proposed work. The *(Name of Local Agency)* agrees to use local funds in lieu of federal funds to finance the cost of work until such time that federal funds (and/or OA) become available for obligation and subsequent reimbursement of the federal share of work. It is understood that an FTIP amendment may be required when the Advance Construction Authorization is converted to a real obligation of federal funds. It also is understood that federal reimbursement is **not** guaranteed.

The *(Name of Local Agency)* understands that work performed prior to federal authorization is ineligible for federal reimbursement and that advertising the construction contract prior to federal authorization will deem the construction and construction phases of work ineligible for federal funds

For questions regarding this request you may contact *(Local Agency contact name and phone number)*.

Local Agency Representative Authorized to Commit Local Funds

Title

Distribution: 1) DLAE 2) DLA 3) MPO

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EXHIBIT 3-J REQUEST FOR TRANSFER OF FEDERAL FUNDS TO THE FEDERAL TRANSIT ADMINISTRATION (FTA)*[Place this form on Local Agency Letterhead]*

To: (DLAE Name) _____ Date: _____
 District Local Assistance Engineer FTIP/FSTIP ID(s): _____
 CALTRANS, Office of Local Assistance Project Description(s): _____
 (District Address) _____

Dear (DLAE Name):

We have received notification of pending grant application approval for this public transit project and request that you transfer these federal funds to the Federal Transit Administration for project administration. The amount(s) requested do not exceed the funds provided to this agency in the current approved Federal Statewide Transportation Improvement Program (FSTIP).

Request for FTA Transfer Documentation

Attached is information/documentation in support of this request to transfer federal funds to the FTA:

- ☐ Pending FTA Grant Number: _____
- ☐ Copy of Approved FSTIP pages
- ☐ Copy of Grant Application (Section 5307 projects only)
- ☐ Copy of Caltrans Notification Letter (Section 5311 & 5310 projects only)
- ☐ Please transfer the following federal funds to the FTA:

<u>Fund Type</u>	<u>Programmed FSTIP Funds</u>	<u>Fiscal Year Programmed</u>	<u>Federal Funds To be transferred</u>
_____	_____	_____	_____
_____	_____	_____	_____
		Total	_____

I understand that the invoices for payment of federal funds will be processed by FTA (Section 5307), or Caltrans (Sections 5311 and 5310 – refer to *Division of Mass Transportation*, Section 5311 “Handbook and Guide,” for invoicing procedures and format)

Prior to payment of State Transportation Improvement Program (STIP) match funds: 1) California Transportation Commission (CTC) must allocate the funds, 2) Master Administering Agency– State Agreement for State Funded Projects and project specific Program Supplement Agreement (PSA) must be executed, 3) Applicant Agency must prepare and sign a project specific Finance Letter, and 4) Applicant Agency must submit evidence that payment of federal funds has been invoiced/received. Invoice procedures and format must adhere to Chapter 5, “Accounting/Invoices,” of *Local Assistance Procedures Manual* (LAPM) (available at <http://www.dot.ca.gov/hq/LocalPrograms/>). *** Please note that STIP match funds may ONLY be used for purposes eligible under Article XIX of the California State Constitution.**

Check which of following applies:

- ☐ This project does not qualify for STIP match funds.
- ☐ This project is programmed to receive STIP match funds. I have attached the completed:
- 1) Request for STIP Fund Allocation
 - 2) Funding Allocation Checklist, and
 - 3) Finance Letter
- ☐ A request for allocation of STIP match funds will be made at a future date as permitted by Government Code Section 14529.17

Toll Credit Usage

- [] This project will use Toll Credit. It is fully funded.
- [] This project will NOT use Toll Credit.

CERTIFICATION

I certify that the facts and statements in this “Request for Transfer of Federal to the Federal Transit Administration” are accurate and correct. Following the transfer of funds to the FTA, this agency agrees to comply with the applicable terms and conditions set forth in Title 49, USC, Chapter 53 “Mass Transportation” and the policies and procedures promulgated the FTA relative to the above-designated project.

Signature of Local Agency Representative

Print Name

Title

Agency

Distribution: Local Agency

**EXHIBIT 3-K ADMINISTRATIVE PROCEDURES FOR TRANSFER OF LOCAL FEDERAL-AID FUNDS
TO FEDERAL TRANSIT ADMINISTRATION****1) FTA Grant Application Submittals**

- Section 5307 FTA Grant Applications for urban areas between 50,000 and 200,000 population and urbanized areas over 200,000 population are submitted by the local agency directly to the FTA (San Francisco) using FTA's "Transportation Electronic Award and Management" (TEAM) computer system. Typically, the FTA accepts only one Section 5307 grant application per local agency per federal fiscal year. All projects eligible for transfer must be included in the local agency's annual grant application.

Regional Transportation Planning Agencies (RTPAs) are responsible for planning and programming the area's Section 5311 FTA apportionments and FHWA regional funds to meet the transportation needs of the region. Each year Caltrans provides the RTPAs with an estimate of their available apportionments. Each RTPA, in coordination with their local agencies, must develop a regional "Program of Projects" (POP) to be funded by the Section 5311 Program.

Caltrans DMT begins the process in October of each year by soliciting a POP from each MPO/RTPA. Projects included in the POP must have a completed FTA Section 5311 Project Application (see Caltrans DMT's Section 5311 "Handbook and Guide," for detailed procedures) completed by the local agency. The POP and applications must be submitted to the Caltrans District Transit Representative (DTR) by December 31 of each year.

- Section 5310 Grant Program grant applications are submitted to Caltrans DMT. Again, Caltrans DMT acts as the grant applicant on behalf of the local entity and deals with FTA on all project-related matters.

2) FTA Grant Application Notification

- FTA (San Francisco) notifies the grant applicant (local agency or Caltrans) upon receipt of the FTA Grant Application and assigns a pending grant number (FTA does not formally approve the grant until after all federal funds have been transferred).
- In March of each year, Section 5311 and 5310 grant subrecipients will receive written notification from the Caltrans DMT of projects and funds approved for inclusion in the fiscal year's statewide Section 5311 or 5310 grant application.

3) Request for Transfer of Funds to FTA

- For Section 5307 projects, upon notification by FTA, or of pending grant approval, the local agency must submit a "Request for Transfer of Federal Funds to the Federal Transit Administration (FTA)" (see Exhibit 3-J of this chapter) and support documentation to the DLAE. The request is reviewed by the District for completeness and accuracy and then is forwarded to the Caltrans Division of Local Assistance (DLA) for processing.
- For Section 5310 and 5311 projects, Caltrans DMT will forward Part II of the FTA Project Application to Caltrans DLA.

4) Transfer of Funds to FTA

- Caltrans DLA will prepare and submit an “FTA Transfer Letter” to FHWA (Sacramento).
- Upon concurrence by FHWA (Sacramento), Caltrans is notified and FHWA (Sacramento) forwards a memorandum to FHWA (Washington D.C.) requesting the funds be transferred to FTA (Washington D.C.).
- FHWA (Washington D.C.) transfers the highway funds and notifies FTA (Washington D.C.).
- FHWA and Caltrans adjust the appropriate apportionment balances (Note that unexpended FHWA funds transferred to FTA will remain with FTA.).
- FTA (Washington D.C.) notifies the FTA (San Francisco) of the fund transfer.
- FTA (San Francisco) will approve/award the grant once their requirements have been satisfied and notify the applicant (the most common problem for applicants is complying with the FTA’s Labor Compliance regulations).

5) Agreements

- Upon FTA approval of the grant application the applicant agency (local agency or Caltrans DMT) enters into a master agreement directly with FTA (San Francisco).
- For Section 5311 and 5310 FTA transfers, Caltrans DMT enters into “Standard” agreements with the sub recipient agencies. Projects are administered in accordance with FTA procedures and the District Transit Office provides project oversight.
- If state match is provided for the transferred funds, the Caltrans DLA or DMT must enter into a Program Supplement Agreement with the local agency.

6) Local Agency Reimbursement

- For Section 5307 FTA Grant projects, the grant applicant deals with FTA on all project-related matters including federal reimbursement.
- Funds for the Section 5311 and 5310 FTA Grant Programs are included in the Caltrans DMT budget. The subrecipient submits progress invoices to the Caltrans District Transit Representative for review and approval. Caltrans will reimburse the grant recipient and then request federal reimbursement from the FTA.

EXHIBIT 3-L LOCAL ASSISTANCE PROJECT PREFIXES

Standard Federal Program Prefixes

[]	STP	Surface Transportation Program
[]	CM	Congestion Mitigation & Air Quality Improvement (CMAQ) Program
[]	BR	Bridge Replacement
[]	BR	Bridge Rehabilitation
[]	ER	Emergency Relief
[]	HSIP	Highway Safety Improvement Program
[]	HRRR	High Risk Rural Roads
[]	SRTS	Safe Routes to School (Infrastructure or Non-infrastructure; Federal USC Sec. 1404)
[]	NBIS	National Bridge Inspection System

STIP Funded Programs

[]	RPSTP	STIP Regional Improvement Program (Federalized)
[]	RP	STIP Regional Improvement Program (State-only)
[]	PPMxx	STIP Funded Planning Programming and Monitoring (S/O)
[]	FSPxx	Freeway Service Patrol (S/O)

xx – Represents second year of programmed fiscal year (e.g. FY 2004/05 = 05)

Sub-Level Identifier

[]	L	Local Assistance Funds Management
[]	N	On National Highway System
[]	H	Safety, Hazard Elimination & Safety Program (HES) portion of STP
[]	G	100% Federal Funding for Safety
[]	E	STIP Programmed Transportation Enhancements/Activities (TE/TEA)
[]	ER	Regional TEA Program
[]	EC	CTC Conservation Lands TEA Program
[]	EE	CTC Statewide Transportation Enhancement (STE) Program
[]	HSR	Safe Routes to School (State-legislated program using federal funds)
[]	NI	Safe Routes to School (Federal funds; Non-infrastructure projects)
[]	S	On System (HBP Program)
[]	O	Off System (HBP Program)

Discretionary Program Prefixes

[]	BDxxx	Bridge Discretionary
[]	BDSxxx	Bridge Discretionary, Seismic
[]	IBRCxxx	Innovative Bridge Research and Construction
[]	FBDxxx	Ferry Boat Discretionary
[]	FLHxxx	Federal Lands Highways
[]	IRxxx	Indian Roads
[]	PLHxxx	Public Lands Highways
[]	CASBxxx	California Scenic Byways
[]	RTxxx	Recreational Trails
[]	TCSPxxx	Transportation Community and System Preservation, Competitive
[]	TCSExxx	Transportation Community and System Preservation, Earmarked

[]	NCPDxxx	National Corridor Planning and Deployment
[]	CBIxxx	Coordinated Border Infrastructure
[]	ITSxxx	Intelligent Transportation Systems
[]	LTAPxx	Technical Deployment, Local Technical Assistance Program
[]	VPPLxxx	Value Pricing Pilot Program
[]	HPLU	SAFETEA-LU High Priority
[]	TILU	SAFETEA-LU Transportation Improvement
[]	PRNS	SAFETEA-LU Projects of Regional and National Significance
[]	NCIP	SAFETEA-LU National Corridors Infrastructure Improvement Program

xx – Represents second year of FFY of allocation (e.g. FY 2004/05 = 05).

xxx– Represents sub-level Identifier & 2nd year of FFY of allocation.

EXHIBIT 3-M FEDERAL HIGHWAY TRANSPORTATION PROGRAMS

<u>Federal Program</u>	<u>Project Prefix</u>	<u>TEA 21</u>	<u>Program Fund Codes</u> STEAO4 SAFETEA-LU	<u>Federal Reimb. Rate *</u>
Surface Transportation Program (STP)				
Urbanized Areas (>200K Population)	STPL	Q230	H230 L230	88.53%
Any Area	STPL	Q240	H240 L240	88.53%
STP, Transportation Enhancement Activities Program (TEA)				
Regional	STPLER	Q220	-	88.53%
Statewide Transportation Enhancements	STPLEE	Q220	-	88.53%
SHOPP-Managed TE	STPE	Q220	-	88.53%
STP, Transportation Enhancements (TE)				
STP, Programmed:				
ITIP Interregional TE (25%)	STPE	-	-	-
RTIP Regional TE (75%)	RPSTPLE	-	H220 L220	88.53%
STP, Hazard Elimination Safety Program (HES)				
HES	STPLH	Q280	H280	90.00%
Optional Safety	STPLH	Q210	H210	90.00%
Safe Routes to School (SR2S Program)	STPLHSR*	Q210	H210	90.00%
*Use this prefix for state-legislated, federally funded Safe Routes to School projects.				
SAFETEA-LU, Highway Safety Improvement Program (HSIP)				
Highway Safety Improvement Program	HSIPL		LS30	90.00%
High Risk Rural Road Program	HRRRL		LS20	90.00%
Safe Routes to School (SR2S Program)	STPLHSR*		LS30	90.00%
*Use this prefix for state-legislated, federally funded Safe Routes to School projects.				
SAFETEA-LU, Safe Routes To School Program (SRTS)				
SRTS (non-infrastructure)	SRTSLNI*	HU10	LU10	100.00%
SRTS (Infrastructure)	SRTSL*	HU20	LU20	100.00%

*Use HU10, HU20 and LU10 or LU20 fund codes first. Use HU30 or LU30 fund codes only if the other 4 fund codes are depleted.

Congestion Mitigation & Air Quality Program (CMAQ)					
	CML	Q4000	H400	L400	88.53%
Highway Bridge Program (HBP)					
On/Off Federal-aid System	L1C0				88.53%
Off Federal-aid System	L110				88.53%

| For information on eligibility funding, please refer to Chapter 6, “Highway Bridge Program” and Chapter 7, “Seismic Safety Retrofit” of the *Local Assistance Program Guidelines* (LAPG).

EXHIBIT 3-N FEDERAL HIGHWAY DISCRETIONARY PROGRAMS

Discretionary Programs	<u>Prefix</u>	<u>TEA21</u>	<u>STE A</u>	<u>SAFETEA-LU</u>	<u>Rate</u>
Bridge Discretionary	BDLxx	Q060	H060		80.00%
Bridge Discretionary, Seismic	BDSLxx	Q070	H070		80.00%
Innovative Bridge Research & Construction	IBRCxx	QT90	HT90		80.00%
Ferry Boat	FBDxx	Q950	H950	L950	80.00%
Forest Highways	FHLxx	4150	F150		80.00%
Public Lands Highways	PLHLxx	4140	F130		80.00%
National Scenic Byways	CASBxx	Q970	H970		80.00%
Transportation Community & System & Preservation Pilot					
Competitive	TCSPxx	92C0	-		80.00%
Earmarked	TCSExx	Q680	H680		80.00%
National Corridor Planning & Deployment	NCPDxx	Q640	H640		80.00%
Coordinated Border Infrastructure	CBILxx	Q640	H640		80.00%
Technical Deployment, Local Technical Assistance	LTAPxx	Q890	H890		80.00%
Value Pricing Pilot Program	VPPLxx	Q880	H880		80.00%
Intelligent Transportation Systems	ITSxx	QT20	HT20		0.00%
		QT40	HT40		50.00%
		QT50	HT50		50.00%
		QT60	HT60		50.00%
		QT70	HT70		50.00%
		QT80	HT80		50.00%
High Priority Projects	HP21L	Q920		????	80.00%
	HPLU				80.00%
Transportation Improvements Program	TIPL			????	????
Projects of National & Regional Significance	PNRSL			????	80.00%
National Corridor Infrastructure Imp. Program	NCIPL			????	88.53% to 100%

XX – represents second year of FFY

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EXHIBIT 3-O SAMPLE LOCAL FEDERAL-AID PROJECT FINANCE LETTER

DEPARTMENT OF TRANSPORTATION
DIVISION OF ACCOUNTING
LOCAL PROGRAM ACCOUNTING BRANCH

Date: _____
Agency: _____
Fed Project No.: _____
EA No.: _____
PPNO.: _____
Bridge No : _____

ATTN: _____

Work on State Highway (Y or N): ____ If yes, provide following:

Administered by State or Local? _____

Project Manager Name: _____

Accounting Program Code(s): _____

Coop or Contribution Agrmnt No.: _____

	TOTAL COST OF WORK	FEDERAL PARTICIPATING COST	FEDERAL FUND TYPE (1)	FEDERAL FUND TYPE (2)	STATE MATCH FUNDS	LOCAL MATCH FUNDS	OTHER FUNDS
PRELIMINARY ENGINEERING							
Agency Preliminary Engineering							
State Furnished Preliminary Engineering							
Overhead at ____ %							
RIGHT OF WAY (R/W)							
Purchase Costs							
Relocation Assistance /Utility							
CONSTRUCTION							
Contract Items _____							
Utilities _____							
Supplemental Work _____							
Contingencies _____							
Trainees _____							
Agency/State Furn. Mat. _____							
Contract Total: _____							
CONSTRUCTION ENGINEERING							
Agency Construction Engineering							
State Furnished Construction Engineering							
Overhead at ____ %							
State Furnished Materials Testing							
Overhead at ____ %, Subjob _____							
Striping by Agency							
Force Account Work by Agency							
TOTALS:							

Federal Participation: _____

Federal Appn. Code(s): _____

Federal Reimbursement Rate(s) for Progress Invoice:

PHASE	FED (1)	FED (2)
PE		
R/W		
CON		
CE		

Certification

I certify that this Finance Letter accurately reflects the current cost estimate for all phases of the project obligated but not fully expended.

Signature : _____

Title : _____

Project location : _____

Remarks : _____

For questions regarding finance letter, contact:

Printed Name: _____

Telephone No.: _____

Distribution: (1) Original + 4 copies-Caltrans DLAE
(2) Copy-Local Agency Project File

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EXHIBIT 3-P SAMPLE "DELEGATED PROJECT AUTHORIZATION"

FEDERAL AID PROGRAM

CALIFORNIA DEPARTMENT OF TRANSPORTATION

LOCATOR	08-SBD-0-SBD	PROJECT LOCATION	PREV. AUTH/AGREE DATE
PREFIX	CML	INTERSECTION OF PERSHING AND REDICK AVENUES	-----
PROJECT NO.	5033(029)		
SEQ NO	2		PE 08/05/02
DIST-EA	08-924726L	TYPE OF WORK	R/W
AGENCY	SAN BERNARDINO	LNG/LCNG REGIONAL REFUELING	CON
ROUTE		FED. RR NOS	SPR
TIP DATA:		PUC CODE(S)	MCS
MPO/YEAR	SCAG	EXEMPT FROM FHWA REVIEW	OTH
DATE	01/02	ENV STATUS	APPR CODES Q400
STIP REF:		R/W STATUS	LINE NOS 10
		BEGIN MP .000	IMPRV TYPE 15
URBANIZED	SAN BENDO-RIVER	END MP .000	FUNC. SYS N
URB/RURAL	URBAN AREA	INV RTE	
	PHASE	PROJECT COST	FEDERAL COST
	PREV. OBLIGATION	154500.00	136799.00
	PE THIS REQUEST	.00	-20.00
	SUBTOTAL	154500.00	136779.00
	TOTAL	154500.00	136779.00
			AC COST
			.00
			.00
			.00
			.00

PPNO - 08-2001017

STATE REMARKS

THIS PROJECT PROPOSES TO CONSTRUCT A REGIONAL FUELING STATION FACILITY FOR LNG/LCNG VEHICLES. THIS IS AN EXEMPT PROJECT. REQUEST FOR THE PRELIMINARY ENVIRONMENTAL. HN SEQUENCE #1 WAS A REQUEST FOR PRELIMINARY ENGINEERING FUNDS TO BE REIMBURSED WITH Q400 CMAQ FUNDS AT 88.53% UP TO THE FEDERAL AMOUNT SHOWN. PL THIS IS A REQUEST TO DE-OBLIGATE PRELIMINARY ENGINEERING FUNDS EXCEEDING THE MAXIMUM REIMBURSEMENT RATIO OF 88.53% AND TO MATCH THE FINANCE LETTER AMOUNT. REIMBURSE THE REMAINING Q400 CMAQ FUNDS AT 88.53% UP TO THE FEDERAL AMOUNT SHOWN. PL

	TOTAL COST	PART COST	FEDERALFUNDS (Q400)	LOCAL FUNDS		
PREL. ENGR.	\$ 154,500	\$ 154,500	\$ 136,779	\$ 17,721		
AUTHORIZATION TO PROCEED WITH PRE FUNDS REDUCTION			PREPARED BY	ON 06/24/05	916-653-7349	
			REVIEWED BY	ON 06/24/05	8-453-7349	
			AUTHORIZED BY	ON 06/24/05		
ELECTRONIC SIGNATURE DOCUMENT TYPE MEND/MOD			SIGNED BY	ON 06/24/05	FOR CALTRANS	
			OBLIGATED BY	ON 06/27/05	FOR FHWA	
LATEST FHWA ELECTRONIC SIGNATURE			EXECUTED BY	ON 08/06/02		

Distribution: DLAE

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**EXHIBIT 3-Q REQUEST FOR AUTHORIZATION
TO PROCEED WITH NON-INFRASTRUCTURE PROJECT**

[Place this form on Local Agency Letterhead]

To: (DLAE Name)
District Local Assistance Engineer
Caltrans, Office of Local Assistance
(District Address)

Date: _____
FTIP/FSTIP ID: _____
Federal Project No: _____
EA: _____
PPNO (For STIP Projects): _____
Project Description: _____

Dear (DLAE Name):

In order to begin federally reimbursable work for the above-referenced non-infrastructure project, we request that you secure Federal Authorization to Proceed and the obligation of funds. The federal funds requested will not exceed those provided to this agency in the federally approved Federal Transportation Improvement Program (FTIP)/Federal Statewide Transportation Improvement Program (FSTIP).

Attached are the following documents required to authorize this phase of work:

Request for Authorization Package

- ☐ Completed Request for Authorization Data Sheet (Exhibit 3-E)
- ☐ Copy of FTIP/FSTIP Reference
- ☐ Completed Finance Letter (Exhibit 3-O)
- ☐ NI project work plan, budget, schedule and deliverables

Toll Credit Usage

- ☐ This project will use Toll Credit. It is fully funded.
- ☐ This project will NOT use Toll Credit.

Field Review Form (Exhibit 7-B)

- ☐ Completed Field Review Form (Exhibit 7-B), or
- ☐ Project Application for SRTS-NI, or TE

Environmental Document

- ☐ Categorical Exclusion (CE). Approval Date: _____.
- ☐ Preliminary Environmental Screening Form for Non-Infrastructure Projects (PES-NI)

Disadvantaged Business Enterprise (DBE)

- ☐ All work for this phase of the project will be performed by local agency staff.
- ☐ For consultant contracts an Underutilized Disadvantaged Business Enterprise (UDBE) goal will be established for each contract and the Local Agency Proposer UDBE Commitment (Consultant Contracts) (Exhibit 10-O1) will be submitted with the proposal. Within 15 days of contract execution, the Local Agency Proposer DBE Information (Consultant Contracts) (Exhibit 10-O2) shall be forwarded to the DLAE.

Pre-Award Audit

- ☐ Pre-award audit was not performed because the consultant contract is for **\$1 million** or less and does not meet the criteria outlined in Exhibit 10-K requiring pre-award audit.

California Transportation Commission (CTC) Allocation

- ☐ A CTC allocation is not required, or
- ☐ A CTC allocation of \$ _____ (federal/state) funds was made at the _____ meeting of the CTC, or
- ☐ A CTC allocation of funds has been scheduled for the _____ meeting of the CTC. It is understood that the authorization/obligation of any federal STIP funds will not be made until after the CTC allocation.

Project Agreement and Liquidation of Funds

Upon FHWA issuance of the "Authorization to Proceed" and Agency submittal of the "Field Review" form (Exhibit 7-B), a "Program Supplement Agreement" will be prepared to encumber the federal and/or state funds for the project. This Agency understands that any federal and/or state funds encumbered for the project are available for disbursement for a limited period of time. It is anticipated that this phase of work will be completed by _____ (month, year).

Invoice Submittal

This Agency understands that only work performed after federal "Authorization to Proceed" (E-76) is eligible for reimbursement. Invoices for reimbursement will not be submitted until after the federal and state (if applicable) funds are encumbered via an executed "Program Supplement Agreement" and/or State approval Finance Letter. In addition, it is also understood that an invoice must be submitted at least once every six (6) months for each project phase until all funds are expended. If there are no eligible expenses, then a written explanation will be provided for that six (6) month period along with the target amount and date for the next invoice submittal.

CERTIFICATION

I certify that the facts and statements in this Request for Authorization Package are accurate and correct. This Agency agrees to comply with the applicable terms and conditions set forth in Title 23, U.S. Code, Highways, and the policies and procedures promulgated by the Federal Highway Administration and California Department of Transportation relative to the above-designated project.

I understand that this Agency is responsible for all costs in excess of the federal and/or state funds obligated / encumbered as well as for all costs it incurred prior to receiving the FHWA issued "Authorization to Proceed." I further understand that all subsequent phases of the project will require a separate "Federal Authorization to Proceed."

Please advise us as soon as the "Federal Authorization to Proceed" has been issued. You may direct any questions to:

_____(Name of Local Agency Contact) at _____(phone number and e-mail address)_____.

Signature of Local Agency Representative

Print Name

Title

Agency

EXHIBIT 3-R NON-INFRASTRUCTURE PROJECT WORK PLAN SAMPLE

This sample is for projects performed by local agency staff. It may be modified for work performed by consultant.						
Date:	Jan. 01, 2011					
Project Number:	SRTSLNI-XXXX(XXX)					
Project Location:	In the City of Any Town, from Somewhere to Anywhere					
Project Description:						
Task Summary:		Start	End	Cost		
Task "A"	Task Name	Month-Year	Month-Year	\$		
Task "B"	"	"	"	\$		
Task "C"	"	"	"	\$		
..	"	"	"	\$		
..	"	"	"	\$		
GRAND TOTAL				\$		
TASK "A" DETAIL:						
Task Summary:						
Schedule:	Start Date:	Month-Year	End Date:	Month-Year		
Activities/	1					
Deliverables:	2					
	3					
	"					
	"					
Staff Costs:						
Staff Time			Hours	Rate	Total \$	
Party 1 - Position/Title						
Party 2 - Position/Title						
"						
"						
Task Notes:			Staff Costs:			
			Indirect Costs:			
			Total Staff Costs:			
			Other Costs:			
			Travel:			
			Equipment:			
			Supplies/Materials:			
			"			
			"			
			Other Direct Costs:			
			Total Other Costs:			
			TASK GRAND TOTAL:			

- Repeat Task Details table for all identified tasks
- Include a Gantt Chart for the tasks, if appropriate.

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